



Central African Forest Initiative Monitoring, Evaluation and Learning Policy

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1. Objectives of the Policy

The Monitoring, Evaluation and Learning (ME&L) Policy sets out the approach of CAFI to assessing how its investments deliver climate and development results and how its results contribute to the overall objectives of CAFI to significantly contribute to low emission development in partner countries through interventions in the land use and forestry sector.

It brings together and clarify guiding principles and mandatory requirements related to monitoring and reporting performance and results, evaluations, verifications and learning.

It clarifies roles and responsibilities for results management and reporting and establishes reporting requirements and processes for monitoring at the project/programme level.

This policy is part of a larger package of the CAFI ME&L system, that comprises

- The ME&L Policy
- The ME&L Results framework, derived from CAFI's Theory of Change
- Guidelines and tools on monitoring and reporting requirements
- The CAFI Secretariat multi-annual ME&L plan

In addition, while the ME&L Package relates mostly to performance and results, the CAFI Risk Management strategy also comprises elements of monitoring and learning.

The ME&L Policy is adopted by the CAFI Executive Board.

The Policy guides the Executive Board, the Secretariat, the Implementing organizations and partner governments.

2. Terminology

The CAFI Multi partner Trust Fund is a UN Fund. Terminology used in this protocol is therefore based and adapted primarily from the UN Results-based Management handbook¹. CAFI is also a multi-donor initiative, so additional definitions commonly used have also been summarized below.

“Results” are changes in a state or condition that derive from a cause-and-effect relationship. There are three types of such changes - outputs, outcomes and impact - that can be set in motion by a development intervention. The changes can be intended or unintended, positive and/ or negative.

“Activities” refer to actions taken or work performed through which inputs, such as funds, technical assistance and other types of resources, are mobilized to produce specific outputs. *Example derived from CAFI's programmes: trainings are held.*

“Outputs” are changes in skills or abilities and capacities of individuals or institutions, or the availability of new products and services that result from the completion of activities within a development intervention within

¹ <https://unsdg.un.org/sites/default/files/UNDG-RBM-Handbook-2012.pdf>.

the control of the organization. They are achieved with the resources provided and within the time period specified.

- *Example : hectares of perennial crops are planted*
- *Counter example: improved seedlings provided : this is an activity, not an output*

The CAFI Framework recalls that the output level is within CAFI's **sphere of control**, or more precisely within the sphere of control of the programmes funded by CAFI.

“Outcomes” represent changes in the institutional and behavioral capacities for development conditions that occur between the completion of outputs and the contribution to impacts.

- *Examples derived from CAFI's Theory of Change : agriculture encroaches less on forests while providing food security.*
- *Counter example:*

The CAFI M&E Framework, adopted by the Executive Board, recalls that results at outcome level are within CAFI's **sphere of influence**.

“Impact” implies changes in people's lives. This might include changes in knowledge, skill, behaviour, health or living conditions for children, adults, families or communities. Such changes are positive or negative long-term effects on identifiable population groups produced by a development intervention, directly or indirectly, intended or unintended. These effects can be economic, socio-cultural, institutional, environmental, technological or of other types. Positive impacts should have some relationship to the Sustainable Development Goals (SDGs²), internationally agreed development goals, national development goals (as well as human rights as enshrined in constitutions), and national commitments to international conventions and treaties.

The CAFI M&E Framework, adopted by the Executive Board, recalls that impact level corresponds to CAFI's **sphere of interest (i.e. not of control)**

- *Examples : Climate change is mitigated*
- *Counter example: A reform is implemented*

The causal link between output, outcomes and impact is linked to **testing the robustness of the theory of change**. For example: is support to subsistence agriculture in a specific area (output) leading to improved productivity (outcome) ? Is improved productivity of subsistence agriculture (outcome) contributing to less annual conversion of forests (impact) by small scale agriculture ?

“Indicators” help measure impacts, outcomes and outputs, adding greater precision. Indicators ensure that decision-making is informed by relevant data. Indicators should be specific, measurable, attainable, cost efficient and realistic.

² The Handbook refers to Millennium Development Goals. The post-2015 agenda now refers to (a larger set of) Sustainable Development Goals

“A Value for money analysis”³ combines analyses of economy⁴, effectiveness and efficiency and examines whether inputs of appropriate quality have been bought at a minimized price (which pertains to the rules and procedures of implementing organizations), whether inputs converted into outputs and how well outputs achieve outcomes.

“Beneficiaries”: An evaluation of how different CAFI-funded programmes define beneficiaries (direct and indirect) will be performed based on 2021 annual reports, at which point CAFI will adopt a definition to be used by all programmes. [Annex D](#) showcases the level of guidance provided by different Funds.

“Performance criteria” used in monitoring, evaluations and verifications are defined [in Annex B](#). They apply differently depending on when (ex programme development and appraisal, routine monitoring, mid term or final evaluations) and by whom the monitoring/evaluation/verification is undertaken (ex : double blinded independent reviews, Secretariat, independent evaluators), as described in [Text Box I](#)

“Monitoring” is a continuous management function that provides managers and key stakeholders with regular feedback on the consistency or discrepancy between planned and actual activities and programme performance, and on the internal and external factors affecting results.

“Evaluations” are periodic assessments aimed at providing information on and improve effectiveness, efficiency, value for money, future programming, strategy and policy making. “Impact evaluations” are rigorous studies that measure the effects of programmes (or portfolio of programmes) and focus on establishing what has been the cause of observed changes , i.e. establish causal attribution. “Evidence-based” evaluations use high levels of evidence (based on established criteria) such as randomized control trials (deemed for example “higher” than pre and post-test studies)

“Verifications” are ad-hoc, spot check exercises that seek to verify a claimed result.

³ Based on

https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/918479/value-for-money-framework.pdf

⁴ The UK provides the following definitions : Economy: minimizing the cost of resources used while having regard to quality (are inputs of appropriate quality bought at a minimized price?); Efficiency: the relationship between the output from goods or services and the resources to produce them (or : how well are inputs converted into outputs?); Effectiveness: the extent to which objectives are achieved and the relationship between intended and actual impacts (how well do those outputs achieve outcomes?).

<https://www.gov.uk/government/publications/value-for-money-standard/value-for-money-code-of-practice-april-2018>

3. Legal and institutional framework

Before presenting in detail the various roles and responsibilities, it is worth recalling that CAFI is a UN Multi-partner Trust Fund using a “pass-through modality”⁵. This means that the financial and programmatic responsibility (including the M&E) is delegated to the implementing organizations.

The main obligation of implementing organizations is to create separate ledger accounts for the funds received, use the funds to carry out the activities as set out in the approved programmatic document and the submission of reports once a year and at the end of the project. The various categories of implementing organizations have different obligations as three distinct types of agreements are signed between the Administrative Agent of the Trust fund and the implementing organizations:

- A Memorandum of Understanding (MoU) for the UN agencies who have automatic access to the Trust Fund⁶
- An Administrative Agreement with the World Bank⁷ that limits the role of the Secretariat to simply transferring the submitted documents (such as reports)
- A framework and financing agreement for the non-UN organizations (such as bilateral cooperation agencies⁸ or international NGOs) that only have access if they pass a fiduciary and safeguards assessment, and there are additional provisions on audits etc.

Figure 1 below shows the different legal agreements signed by the different entities, and the flow of accountabilities.

⁵ As per the MOU: The implementation of the programmatic activities will be the responsibility of the Participating UN Organizations and will be carried out by each Participating UN Organization in accordance with its own applicable regulations, rules, policies and procedures (...)

⁶ Available here : <https://mptf.undp.org/document/download/15351>

⁷ Available here : <https://mptf.undp.org/document/download/23390>

⁸ Available here: <https://mptf.undp.org/document/download/25034>

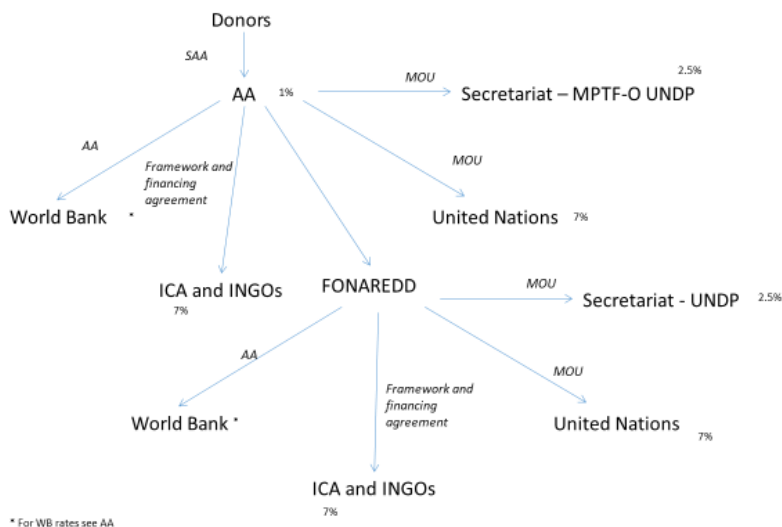


Figure 1: Legal agreements in the CAFI system

In addition, the Trust Fund's oversight functions are weakened by the nature of the MOU signed between the participating UN organizations which creates the Trust Fund. The MOU states that the Fund is developed by the participating UN agencies who agree to establish the Executive Board and coordinate with donors so that they can contribute funds and receive reports in a single channel.

Furthermore, unlike other Trust Funds, CAFI is a **platform for policy dialogue** that brokers and signs high level political commitments in the form of Letters of intent. In these Letters of intent, **governments are accountable for the results** (sometimes explicitly: for example, it is mentioned in the Letter of Intent, such as in the 2nd LoI with the DRC⁹; or in practice: the EB has suspended funding to a country when it considered the LOI breached), while **budgets and activities are managed by Implementing Organizations (as per the legal framework described above)**. Furthermore, the second tranches of the programs depend on the performance of the programs and their release requires a decision by the EB. In such conditions, partner governments - none of which have access to the CAFI Trust Fund - expect to have an oversight and monitoring role and capacity. In response, CAFI funds central coordination functions hosted by a coordinating ministry, the Presidency or the Prime minister's office.

⁹ <http://www.cafi.org/countries/democratic-republic-congo/decisive-usd-500-m-agreement-cop26-protect-dr-congos-forest>

Moreover, in the Democratic Republic of Congo a separate MPTF account (the National REDD Fund, or FONAREDD) had been set up before the creation of CAFI that was used during the first partnership to channel the funds to DRC. Although it is an MPTF (i.e. same features and procedures as CAFI) with no legal capacity meaning that the administrative agent (UNDP's MPTF-O) signs on behalf of the Fund thanks to a delegation from the Ministry of Finance) - it has a separate governance structure and legal framework (i.e. separate agreements with the implementing organizations to which CAFI is not a party), which means it cannot enforce obligations therein. This leaves an accountability gap as the M&E roles offered by the pass-through mechanism are not available to CAFI in the DRC.

Finally, the legal agreements also refer to the Terms of Reference of the Trust Fund, adopted by the CAFI Executive Board¹⁰. This document further details the roles of the Administrative Agent, the Executive Board and the Secretariat among others regarding monitoring, evaluation and learning.

This setup has implications on the way monitoring, evaluations and learning responsibilities are shared across different organs of the Trust Fund and on different levels from the regional to the national and programme levels.

¹⁰ <http://www.cafi.org/sites/default/files/2021-12/2021%2012%20-%20CAFI%20Terms%20of%20Reference%20ENG%20-%20Revised%20December%202021.pdf>

4. The CAFI Results and M&E framework

4.1. The Trust Fund's logical framework

As mentioned in [Section 2](#), CAFI uses the United Nations Results-based Management (RBM) terminology for the construction of its results framework. Figure 2 below presents the results chain.

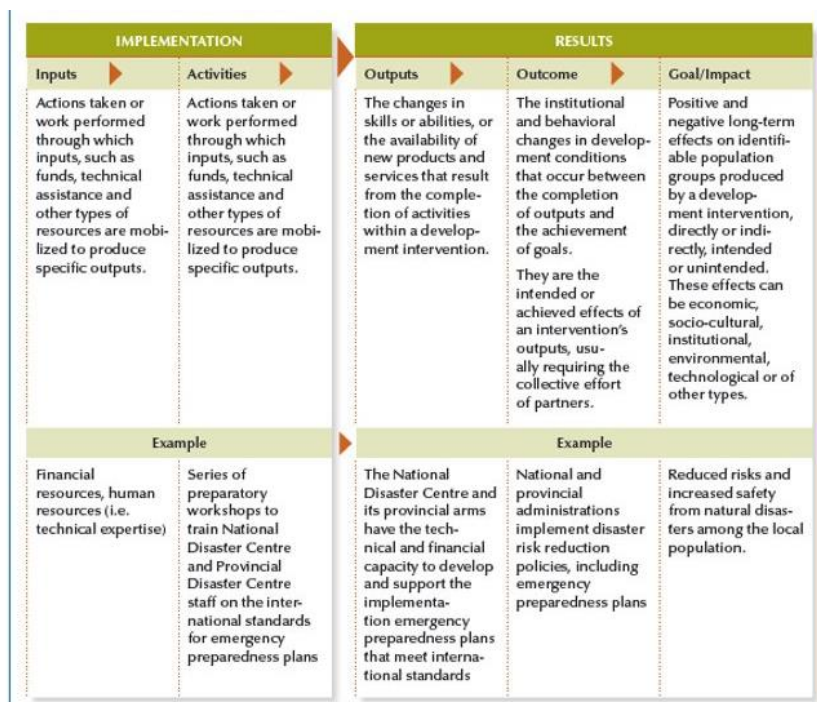


Figure 2: UN Sustainable Development Group RBM results chain

Based on this framework and the CAFI Ministerial Declaration, the terms of reference of the CAFI Trust fund identify **two impacts**: emission reductions and removals from the forest and land use sector and development co-benefits.

Seven outcomes contribute to the achievement of impacts based on the assessment of the drivers of deforestation and forest degradation. These assessments are part of the REDD+ analytical work that spanned several years at the global, regional and country levels. These assessments have been supported mainly by the UNREDD program, the FCPF and other REDD+ Readiness support. One relevant piece of the readiness support focused on the development of REDD+ strategies that aimed to identify deforestation and forest degradation drivers and propose measures that would address them.

These 7 outcomes are:

- Sustainable **agricultural** practices lead to less land conversion and increased food security¹¹;
- Sustainable alternatives to current **wood energy** practices are adopted;
- **Forestry sector and protected areas** institutions and stakeholders have the capacity and the legal framework to promote, monitor and enforce sustainable management of forests;
- Future **infrastructure and mining** projects minimize their overall footprint on forests;
- **Land use planning** decisions ensure a balanced representation of sectoral interests and keep forests standing, and better **tenure** security does not incentivize forest loss by individuals, communities or companies;
- **Population growth and migration** to forests and forest fronts are slowed down;
- Better inter-ministerial coordination and **governance** resulting in a permitting, enforcement and fiscal regime of economic activities that do not push economic actors to forest conversion and illegal activities; and a business climate favourable to forest-friendly investments

For each of the outcomes several possible outputs are proposed.

Outcomes	Outputs (indicative – do not apply to each country)
Sustainable agricultural practices lead to less land conversion and increased food security	<ul style="list-style-type: none"> • Policy, legal and regulatory frameworks guide , regulate and enforce a limitation of the conversion of forests into agricultural concessions • More intensive agriculture is supported and directed towards savannahs areas • Rural farmers are supported so that food security and incomes are safer • Private sector is supported to direct its investments in savannahs areas
Sustainable alternatives to current wood energy practices are adopted	<ul style="list-style-type: none"> • Policy, legal and regulatory frameworks guide, regulate and enforce the sustainable management of, and alternatives, to fuelwood • Improved energy solutions are more available and used • Production of sustainable fuelwood increases • Jobs are created along the value chain of sector of improved energy solutions • Household spending on energy decreases
Forestry sector and protected areas institutions and stakeholders have the capacity and the legal framework to promote, monitor and enforce sustainable management of forests	<ul style="list-style-type: none"> • Policy, legal and regulatory frameworks guide, regulate and enforce the sustainable management of forests • Percentage of forest areas under sustainable management plans increase • Share of industrial and artisanal illegal timber decreases • Percentage of areas under certification (vs non-certified) increases • Surfaces of sustainable community forestry increase • Timber traceability improves • Capacity to monitor and track land use increases

¹¹ A bibliography compiled for the agriculture sector may be found in Annex A, and will be complemented through the dedicated learning platform (see “Learning” section below)

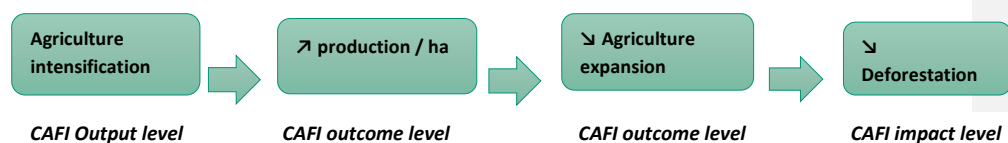
<p>Future infrastructure, hydrocarbons and mining projects minimize their overall footprint on forests</p>	<ul style="list-style-type: none"> • Standards are developed and applied during siting and development/exploitation infrastructure, hydrocarbons and mining investment and include requirements to undertake participatory and inclusive approaches to planning and implementation
<p>Land use planning decisions ensure a balanced representation of sectoral interests and keep forests standing, and better tenure security does not incentivize forest loss by individuals, communities or companies</p>	<ul style="list-style-type: none"> • Mechanisms are enhanced to document and map land uses, land allocations and their overlaps • Land-use planning instruments protect high-value forests • Tenure rights are secured, conditioned on the sustainable management of forests • Customary authorities practice sustainable land use and allocation
<p>Population growth and migration to forests and forest fronts are slowed down</p>	<ul style="list-style-type: none"> • Movements from and to forest fronts are better understood • Access to modern family planning services increases • Awareness amongst women increases • Education and schooling for girls is enhanced • Opportunities for women increase
<p>Better inter-ministerial coordination and governance resulting in a permitting, enforcement and fiscal regime of economic activities that do not push economic actors to forest conversion and illegal activities; and a business climate favourable to forest-friendly investments</p>	<ul style="list-style-type: none"> • Fiscal measures are put in place to dis-incentivize forest loss • Streamlined permitting across sectors incentivize forest protection • Transparency in land allocations increases • Participation of civil society stakeholders is enhanced • Transparency about implementation of national investments framework is enhanced • National investment frameworks are anchored in national development policies and institutional fabric

One important assumption behind this framework is that **not every country will address all outcomes or all of the outputs within the outcomes in CAFI's programs**. This is because the programs will be based on their own assessment of drivers (so one driver may be present in one country and not in another). In addition, CAFI does not intend to fund everything, but rather help governments have a coherent vision in addressing the drivers with CAFI and other funding. This means that the driver may be present - and a specific program is required to address it - but it is already being funded by another entity.

Each level of the causal chain was constructed using assumptions and risks. A short example is provided below for the outcome "Sustainable **agricultural** practices lead to less land conversion and increased food security"

Rationale, assumptions and risks for CAFI's "Agriculture" outcome

Necessary agricultural intensification must, in a REDD+ logic, be accompanied by specific policies and measures to limit the expansion of areas converted to agriculture on forests (realization of the land-sparing theory as first described by the Borlaug hypothesis schematized below)



To achieve this, multiple levers must be activated in a coordinated manner, and certainly very differently depending on the actors and types of agriculture considered. In DRC, the implementation of the REDD+ National Framework Strategy in the agriculture sector relies on agricultural intensification, framed by a land-use planning process (from the macro to the micro level) integrating forest preservation and supported by positive (or even negative) incentives for the respect of zoning plans and associated natural resource management rules. The measured integration of small-scale, more labor-intensive perennial crops allows for the retention of shifting agriculture and the absorption of excess labor (population growth, migrants). Sustainable land management is also supported by collective or even individual land tenure security, and conditional support for the development of value chains.

Lever of action may be : (conditional) support for the improvement of agricultural practices and the development of value chains, incentives (such as Payment for Ecosystem Services), sustainability criteria, zoning, identification and land security, traceability, deforestation alerts, special economic zones. *Note : these do not all appear in the "agriculture" outcome of the CAFI theory of change.*

One main identified risk is the so-called "rebound effect" (or "negative land sparing"), where agricultural intensification leads to more agricultural expansion). This risk depends on various factors:

- Market access and the ability to sell surplus production, without which there is very little incentive to increase the area under cultivation (apart from an improvement in family food security, which has a relatively limited impact): the existence of transport routes, the ability to carry out transport in a time and at a cost that is appropriate for the perishable foodstuffs transported (remoteness, the context in terms of "hassle", artificial price control by certain interests, etc.), the sensitivity of prices to an increase in production, etc.
- Constraints in terms of the labor force needed to increase the area under cultivation, whether family or contracted, provided that the latter is available. In this context, positive and negative migratory movements must be taken into account. Technical and agronomic improvements can influence this factor
- Capital constraints for the necessary investments (seeds, tools, contractual labor). This capital can come from profits made through agricultural activity or from income from outside the sector (traders, teachers, etc.), from subsidies, from loans;
- Constraints on available land (only applicable in very densely populated areas such as the DRC's Kivu.
- Other risks such as unwillingness to invest or ability to access loans

This logical framework is used to structure and monitor programs that the CAFI Trust Fund supports. It has been the basis of the National Investment Frameworks that partner countries have developed and that represent preconditions for the negotiations and signature of the political agreements (Letters of intent).

☞ The CAFI Results Framework provides the list of indicators adopted by the CAFI Executive Board.

4.2. Letters of Intent

In addition to this framework, the Letters of Intent signed between CAFI and partner governments contain political and programmatic milestones. There is naturally a certain level of overlap between the outcomes/outputs of the CAFI Fund and the milestones, but letters of intent are political instruments signed at the highest political level which impacts their content and there are several differences with the outcomes and outputs listed above. For example, some milestones are aspirational, and their language is not as tight as the outputs and outcomes, while some others reflect political priorities of the moment when the letter of intent was signed. But as the LOIs are the basis for the policy dialogue, the milestones are monitored and methodologies (including indicators) are developed with the partner countries to measure progress. This add another layer to the CAFI’s M&E framework and will be presented in subsequent chapters.

In addition to these indicators, for each Letter of intent a specific milestone monitoring matrix is developed with the partner countries with indicators (results and process) to be able to measure progress towards jointly defined objectives of the LOI.

☞ The CAFI website is the repository of Letters of Intent, including their milestones.

5. Implementation arrangements

5.1. Processes

In a complex system such as CAFI’s, that combines investments on the ground coupled with policy dialogue, programmes processes, results risk and safeguards but also policy commitments are monitored, evaluated and/or verified. The section below summarizes what is monitored, evaluated and verified based on the type of exercise. This is further developed in the CAFI ME&L Guidelines.

	Monitoring	Evaluation	Verification
Frequency	Periodic, occurs regularly	Episodic	Ad-hoc, defined in Letters of Intent or governance bodies

Function	Tracking/oversight	Assessment	Assessment
Purpose	Improve efficiency, provide information for reprogramming to improve outcomes	Improve effectiveness, impact, value for money, future programming, strategy and policy making	Check specific results in an independent way
Focus	Inputs, outputs, processes, workplans (operational implementation)	Effectiveness, relevance, impact, cost-effectiveness,	Specific, quantitative, time-bound results
Methods	Routine review of reports, registers, administrative databases, field observations	Scientific, rigorous research design, complex and intensive	Rigorous, independent, targeted
Information source	Routine or surveillance system, field observation reports, progress reports, rapid assessment, program review meetings	Same sources used for monitoring, plus population-based surveys, vital registration, special studies	Same sources used for monitoring plus GIS data when possible
Cost	Consistent, recurrent costs spread across implementation period	Episodic, undertaken at midpoint and end of implementation period	Episodic

5.1.3 Monitoring

Monitoring is the continuous management function that provides decision-makers, managers and key stakeholders with regular feedback on the consistency or discrepancy between planned and actual activities and programme performance, and on the internal and external factors affecting results.

The CAFI Fund derives its guidance from the UNDG Results Based Management (RBM) handbook¹², which highlights that monitoring:

- involves regular and systematic assessment based on participation, reflection, feedback, data collection, analysis of actual performance (using indicators) and regular reporting.
- makes it possible to gauge where programmes stand in terms of international norms and standards. It helps understand where programmes are in relationship to results planned, to track

¹² <https://unsdg.un.org/resources/unsdg-results-based-management-handbook>

progress (on the basis of intended results and agreed indicators), and to identify issues and analyze relevant information and reports that become available as implementation occurs.

- is used to fulfill accountability requirements; communicate, review and report results to stakeholders; adjust approaches to implementation if necessary; and inform decision-making.
- feeds into evaluation and real-time learning.

What is monitored ?

Programme results and factors affecting their performance, programme performance, risks, safeguards, fund mobilization, milestones of letters of Intent are monitored by various actors of the CAFE system, as explained below.

Programmes results and factors affecting performance are primarily monitored by IOs using their internal processes and resources and in line with their institutional M&E strategies and approach, whose description is required in programme documents.

☞ Guidelines for monitoring of programme results by IOs to be part of the CAFE ME&L Guidelines and tools.

Programme performance is monitored by the CAFE Secretariat and rated annually by the CAFE Secretariat accordingly to their progress on the criteria below¹³, extracted from section 5.1.6, with definitions provided in [Annex B](#), and compiled in scorecards.

Commented [EF1]: Role of SE FONAREDD to be clarified

Criteria	How criteria translates into programme performance monitoring by the CAFE Secretariat
Compliance	Conformity with CAFE/MPTF annual programme reporting templates and deadlines.
Clarity	Clarity of annual programme reports
Coherence	The extent to which the programme ensures compatibility, coordination and complementarity with other programmes and initiatives in the sector (across the region) and country through its interventions.
Efficiency	Annual disbursement rate compared to PTBA Cumulative disbursement rate and its annual evolution Share of operational and indirect costs Time lap between fund disbursement and beginning of implementation Relation between resources (costs, human resources, time and other resources) spent and outputs/results achieved

Commented [EF2]: Role of SE FONAREDD ?

¹³ The CAFE Manual of Operations mandate the CAFE Secretariat to “develop performance criteria for implementing agencies and programs to justify decision on disbursement of subsequent tranches to agencies”

Effectiveness	The extent to which the programme has achieved its intended results <u>at output level</u>
Measurability	The extent to which the programme reports on all the indicators in its results framework and provides data that allows doing so.
Country ownership	Measurable by extent and level of government participation in programme steering committees
Equity for beneficiaries	The extent to which the programme disaggregates its indicators per type of beneficiaries in annual/semi-annual reports, demonstrates and reports on actions taken to integrate underrepresented groups
Gender	Estimated each year through five criteria : conception, budget, implementation (incl socio-economic outputs), M&E and governance/participation ¹⁴
Inclusive and effective governance	The programme complies with the programme governance modalities outlined in the PRODOC (e.g., organises meetings at the correct frequency and with the listed stakeholders) and implements the decisions adopted by the programme governance bodies. By acting as observers in programmes steering committee meetings, the Secretariat monitors inclusive representation and participation of stakeholders, including people who are marginalized or with low representation (women, Indigenous peoples, youth)
Risk mitigation	The Secretariat identifies potential new risks and assesses the actual implementation of measures taken to mitigate identified risks.
Visibility and communication	The Secretariat checks the extent to which communication products showcase CAFI
Unexpected positive results	Compiled through annual and semi-annual programme reports present any unexpected results of the intervention.
Unexpected negative results	At output level

Commented [EF3]: Keep here or put in Guidelines and tools ?

Agency performance is then derived from aggregating programme performance as per the above.

Monitoring of results against CAFI indicators is performed by the CAFI Secretariat. The CAFI Secretariat compiles the results provided by each programme as per the indicators in their programme documents, that include CAFI indicators. If necessary, the CAFI Secretariat funds dedicated studies or programmes to obtain results data, especially at impact and outcome levels.

Commented [BP4]: what about safeuagrds?

Monitoring of the tools that have been put in place for safeguards is performed by the Secretariat based on information provided in annual reports. This includes the existence of

- A screening or preliminary social and environmental assessment

¹⁴ Examples are provided in FONAREDD and CAFI consolidated annual reports

- An evaluation of the social and environmental impact
- A complaints and recourse mechanism for the programme Mécanisme de gestion de plainte et recours propre au programme
- A socio-environmental management plan
- A strategic study for a new national policy
- Other tools

This monitoring is different from potential **evaluations** of the implementation of these tools (eg whether they have sections on gender, indigenous peoples, etc), that could be discrete exercises or part of larger programme evaluations.

☞ The CAFI Results Framework, adopted by the Executive Board, sets the CAFI indicators at the 3 levels of impact, outcome and output. Additional information to clarify why, how and by whom these indicators are monitored and reported will be developed an annexed to the framework.

Risks are monitored depending on their type. The CAFI Risk Management Strategy describes primary responsibilities, risk ownership and escalation.

Milestones of Letters of Intent are jointly monitored, both a technical and a political level, by the CAFI Executive Board and partner countries. In addition, implementing organizations monitor how their programmes contribute to the achievement of milestones.

5.1.2 Reporting

Principles

Reporting obligations are framed by the legal agreements with UN organisations, the World Bank, cooperation agencies or other international organizations.

What is reported ?

Results, financial performance, risks and safeguards are **reported semi-annually** by the entities monitoring them, as per the above.

☞ Guidelines and templates for reporting are compiled in the CAFI ME&L Guidelines and tools.

The CAFI Secretariat compiles and aggregates this information in the consolidated CAFI Annual report.

5.1.3 Verifications

Principles

Verifications are ad-hoc, independent assessments verifying a claimed result.

What is verified

CAFI undertakes two types of verifications:

- i) Verification of **milestones of the Letter of Intent** : Independent verification of the achievements of milestones are mandated by the Letter of Intent and contracted by the CAFI Secretariat. They have been undertaken twice in the DRC (2019 and [2020](#)), while the Gabon verification is expected to be finalized in early 2022. The terms of reference of the verifications are agreed to jointly by the two signatories of the letter of Intent. Verification reports contain not only information about the level of achievement of milestones but also an assessment of solutions that are planned or found to address delays in the achievement of milestones
- ii) Verification of **the results of selected programmes**. Such verifications are punctually decided by decision-making bodies.

5.1.4 Evaluations

Principles

As per the UNDG Handbook, evaluations are assessments, as systematic and impartial as possible, of an activity, project, programme, strategy, policy, topic, theme, sector, operational area, institutional performance, etc. They focus on expected and achieved accomplishments, examining the results chain, processes, contextual factors of causality, in order to understand achievements or the lack thereof.

They aim at determining the relevance, impact, effectiveness and sustainability of the interventions and contributions of the organizations of the UN system. An evaluation should provide evidence-based information that is credible, reliable and useful, enabling the timely incorporation of findings, recommendations and lessons into the decision-making processes of the organizations of the UN system and its members.

Evaluations are critical for programme improvement, accountability and organisational learning. Evaluations should be part of a learning system and ensure that it helps review (and revise as necessary) a programme theory of change and the conditions for programme performance. To encourage learning and uptake of lessons learned, the CAFI Secretariat together with the Implementing organization compile matrices detailing how evaluation recommendations have been followed.

Trusted, high-quality evidence produced from credible evaluations helps to inform CAFI investments, policies, structure, performance, processes and strategies by informing and guiding the Fund for its day-to-day operations and providing strategic guidance to the Executive Board, the Secretariat and implementing organizations. This, in turn, ensures CAFI investments have the most possible positive impact.

Evaluations should :

- Abide by the principles of independence, impartiality, non-biased and a gender-responsive approach
- Indicate the extent to which their results aim to inform the replication and scaling up of CAFI's investments, operations, policies and practices, and inform how and to what extent there are potential impacts on stakeholders
- Be based on well-researched scoping work, and must use high-quality, independent and relevant data and independent analyses
- Findings and results must be triangulated using different methods (ideally 'mixed-methods') and should be benchmarked against similar programmes to ensure best learning. They should also contribute to and be informed by evidence reviews, which will enable CAFI evaluations to build on existing bodies of relevant global evidence
- Cover the range of relevant criteria set out below

What is evaluated

There are 4 types of evaluations of programmes under the CAFI legal framework.

1. Evaluations of the quality of programme proposals **prior to approval** and of the compliance with the programme document template (annexed to the CAFI Terms of Reference/MoP)
2. **Mid-term** evaluations of programmes:
 - a. Evaluations (internal or external) mandated by the implementing organizations, as per their evaluation rules and procedures
 - b. Independent evaluation of programme performance and financial delivery, commissioned and managed by CAFI through its Secretariat to inform the release of the second tranches of programmes
3. Final evaluations of programmes (as per the two sub-types above)
4. Ad-hoc evaluations are made possible at the request of donors : "Ad-hoc evaluations may be mandated with a view to determine whether results are being or have been achieved and whether donors' contributions have been used for their intended purposes".¹⁵

Commented [EF5]: And the FONAREDD in the DRC? To be clarified

When they are not directly commissioned and managed by CAFI, all evaluations above should be submitted to the CAFI Board via its Secretariat, unless implementing organizations rules and procedures specifically forbid this.

In addition (5) , mid-term evaluations of the CAFI Fund are planned by the CAFI Terms of Reference.

¹⁵ Page 11, paragraph 4 (insert hyperlink)

The table below summarizes the differentiated roles that actors of the CAFI system have in different types of evaluations

	Role of Implementing organizations	Role of CAFI Secretariat	Role of CAFI Board	Role of national governments	Role of civil society stakeholders
1-	Cooperates to provide additional information if unclear Reports annually on recommendations of the EB	-Develops terms of reference and criteria ¹⁶ -Ensures anonymity of independent evaluators -Manages contract -Provide secure way for EB members to access report	-Reviews evaluation and adopt decision that reflect its priority recommendations		
2-a	Informs CAFI Secretariat of timing of evaluations Communicates report and management response unless rules specifically prohibit it	Provide secure way for EB members to access report Work with IO to ensure recommendations are used or responded to Summarizes top/recurring recommendations for EB and flags risks	Engage as necessary with agencies directors on priority concerns	Cooperate to provide information to evaluators Takes note of evaluations	Cooperate to provide information Takes note of evaluations
2-b	Cooperate to provide information Considers recommendation and prepare responses as needed Reports annually on follow-up to recommendations	Provide secure way for EB members to access report Develops terms of reference and criteria Manages recruitment and contract Summarizes top/recurring recommendations for EB and flags risks	Takes formal note of report and adopt decision Engage as necessary with agencies directors on priority concerns	Cooperate to provide information to evaluators Engage as necessary with IO at various levels on priority concerns	Cooperate to provide information Takes note of evaluations Monitors the follow-up to recommendations in particular areas of concerns for civil society
3-a	Same as 2-a	Same as 2-a	Same as 2-a	Same as 2-a	Same as 2-a
3-b	Same as 2-b	Same as 2-b	Same as 2-b	Same as 2-b	Same as 2-b

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4	Same as 2-b	Manages recruitment and contract	Develops terms of reference and criteria Takes formal note of report and adopt decision as needed		Cooperate to provide information Takes note of evaluations Monitors the follow-up to recommendations in particular areas of concerns for civil society
5	Cooperate fully to provide information	Cooperate fully to provide information Draft terms of reference Manages recruitment and contract Reports regularly to the Executive Board on follow-up to recommendations	Cooperate fully to provide information Review and approve Terms of reference Constitutes an advisory group to monitor evaluation Prepares response as needed	Cooperate fully to provide information	Cooperate to provide information Takes note of evaluations Monitors the follow-up to recommendations in particular areas of concerns for civil society

Roles and responsibilities in different types of evaluations

How ?

☞ Guidance on evaluations for evaluators to be further detailed through guiding questions, including as per the criteria below, in the CAFI ME&L Guidelines and tools.

5.1.5 Audits

Audits are assessments of the adequacy of management controls to ensure the economical and efficient use of resources; the safeguarding of assets; the reliability of financial and other information; the compliance with regulations, rules and established policies; the effectiveness of risk management; and the adequacy of organizational structures, systems and processes.

Evaluations are more closely linked to monitoring for development results and learning, while audits focus on compliance.¹⁷

The legal agreement (Memorandum of understanding) between the Administrative Agent and the UN implementing organizations specifies that

“External and internal audits

The activities of the Administrative Agent and each Participating UN Organization in relation to the Fund will be exclusively audited by their respective internal and external auditors in accordance with their own financial regulations and rules. The corresponding external and internal audit reports will be disclosed publicly unless the relevant policies and procedures of each of the relevant Participants provide otherwise.”

Joint internal audits

The Internal Audit Services of the Participants involved in the Fund may consider conducting joint internal audits thereof in accordance with the Framework for Joint Internal Audits of UN Joint Activities, including its risk-based approach and provisions for disclosure of internal audit reports related to the Fund. In doing so, the Internal Audit Services of the Participants will consult with the Executive Board.

Audits of Implementing Partners

The part of the contribution transferred by a Participating UN Organization to its implementing partners for activities towards the implementation of the Fund will be audited as provided under that Participating UN Organization’s financial regulations and rules, as well as its policies and procedures. The disclosure of the corresponding audit reports will be made according to the policies and procedures of that Participating UN Organization”¹⁸

¹⁷ <http://web.undp.org/evaluation/handbook/documents/english/pme-handbook.pdf>

¹⁸ Page 12 of the “**CAFI Memorandum of Understanding 2015** (English)

5.1.6 Criteria used for monitoring, evaluations and verifications

The comprehensive set of criteria below has been developed to guide different exercises.

Criteria ¹⁹	Evaluation of project document	Prog. monitoring (IOs and CAFI Sec)	Mid term /final evaluations of programmes	Ind. verification	Joint monitoring of LOI with Govt.	Impact evaluations	CAFI Fund ("mid term") reviews
Compliance	X	X					
Clarity	X	X	X				
Relevance	X						X
Coherence	X	X	X				X
Economy	X	X	X				X
Effectiveness	Output level	Output level	Output and outcome level	LOI milestone & objectives	LOI milestones & objectives		Outcome level
Efficiency	X	X	X				X
Value for money			X				X
Sustainability	X	X	X				X
Replicability & scalability	X	X	X				X
Impact	X		X			X	X
Immediate effects			X				X
Measurability	X	X	X				X
Country ownership	X	X	X	X	X		X
Equity for beneficiaries	X	X	X				X
Transparency & integrity	X	X	X				X
Gender	X	X	X				X
Inclusive & effective governance	X	X	X	X	X		X
Other social & environmental safeguards	X	X					X
Beneficiaries' satisfaction	X	X	X				X

available on the MPTF Gateway

https://mptf.undp.org/factsheet/fund/AFI00?fund_status_month_to=12&fund_status_year_to=2018

¹⁹ These criteria are defined in [Annex B](#)

Risk and mitigation	X	X	X				X
Visibility & communication	X	X	X				X
Innovation in result areas	X	X	X				X
Unexpected positive results		X	X				X
Unexpected negative results		X	X				X

☞ These criteria will be further developed with guiding questions in the CAFI ME&L Guidelines and tools.

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5.2. Roles and responsibilities

A summary table is presented below to set out the ME&L responsibilities purely related to programmes, risks and safeguards and those appearing in Letters of Intent.

Entity	Primary ME&L responsibility
Implementing organization	<ul style="list-style-type: none"> - Design a CAFI-aligned Theory of change for programmes as part of programme proposal - Establishes baseline data - Designs and implement a M&E plan according to its process - Submits financial and narrative reports to CAFI Secretariat and MPTF - Communicates, if procedures allow, the results of its internal evaluations and audits - Supports, through implementation of programmes, the achievement of “programmatic” milestones set out in Letters of Intent
(FONAREDD Secretariat)	To be clarified
National Government	<ul style="list-style-type: none"> - Participate in programme monitoring as per the M&E plan defined in the programme documents - Responsible for political milestones set out in Letter of Intent
CAFI Secretariat	<ul style="list-style-type: none"> - Provides guidance, support and training on the M&E framework - Develops templates for programme documents and annual and semi annual reports - Review the programmes ToC and logframe as part of programme proposal review process - Reviews and clears baseline and target data - Establishes criteria to monitor programme performance, implement and report to the Board through scorecard - Reviews narrative reports and reports on their conformity - Compiles results at portfolio level and analyses data and reports to the Executive Board - Commissions and manages independent programme proposals reviews, mid-term and final evaluations - Draft terms of reference for CAFI Fund mid term evaluations

	- Develops tools to support the joint monitoring of milestones of Letters of Intent
CAFI Executive Board	- Approves programmes (including their CAFI-aligned ToC and logframes) - Approves annual report including portfolio-level data and analysis (donors) decide and mandate ad-hoc programme evaluations - Fund programmes that support the achievement of Letters of Intent - Participate in Annual partnership reviews with countries
Independent evaluators	- Design and conduct programme proposals reviews - Design and conduct mid term and final evaluations
Beneficiaries /project stakeholders	- Participate in programme monitoring as per the M&E plan defined in the programme documents

5.2.1. Implementing organizations (IOs)

Implementing organizations have the primary responsibility for monitoring programme results and reporting on these. They cooperate willingly on externally-mandated evaluations with a view of learning.

Monitoring of programmes by IOs

IOs monitor their programmes using their internal processes and resources and in line with their institutional M&E strategies and approach, whose described is required in programme document.

Guidelines for monitoring of programme results by IOs are described in the ME&L Guidelines and tools.

Reporting obligations by IOs

Programme reporting obligations are described in the CAFI ToR and MoP, and summarized in this guidance note ²⁰, that will be inserted into the CAFI ME&L Guidance and tools.

Internal audits of IOs

The MoU specifies that

“The activities of [...] each Participating UN Organization in relation to the Fund will be audited by their respective internal and external auditors in accordance with their own financial regulations and rules. The corresponding external and internal audit reports will be disclosed publicly unless the relevant policies and procedures of each of the relevant Participants provide otherwise.”

Table (to be completed) with excerpts from relevant policies and procedures regarding internal audits.

Implementing organization	Can internal audits be disclosed outside of the organization/publicly (on a voluntary basis?)	Can external audits be disclosed outside of the organization / publicly ?	Reference

²⁰ https://docs.google.com/document/d/1FWJlutMrIaytNYpJX2RPTVRW0_-JDDcp/edit?usp=sharing&ouid=108442690432788652504&rtpof=true&sd=true

UNDP	Yes		https://audit-public-disclosure.undp.org/

Commented [EF6]: To be completed with help of IOs

Evaluations by IOs

Please also refer to section 5.1.4.

Evaluation requirements mandated by IOs are subject to their internal rules and procedures.²¹ The CAFI programme document template requires one paragraph specifically dedicated to Evaluation strategies, including the timing of anticipated internal /external audits.

All evaluations should be part of a learning system and ensure that it helps review (and revise as necessary) a programme theory of change and the conditions for programme performance.

5.2.2. CAFI Secretariat

Responsibility of the CAFI Secretariat in terms of M&E

As per its Manual of operations adopted in 2021, the responsibilities of the CAFI Secretariat in terms of M&E are described in the table below, to which have been added information about the tools/ platforms and their availability as well as frequency of use.

Monitoring of reporting requirements

Decisions adopted by the CAFI Executive Board (as well as, in the DRC, decisions adopted by the FONAREDD Steering Committee) on disbursements of funding will take into account the quality of the narrative reports as well as reported expenditure levels. The Terms of Reference of the CAFI Fund²² state that compliance with reporting obligations is one of the conditions for requests for disbursement of additional tranches of funding.

In order to inform these decisions, a **compliance matrix of financial and narrative reports**, by programme and by agency, is compiled by the CAFI Secretariat (with the support of the FONAREDD Secretariat for programmes in the DRC financed through this channel) and presented to the Executive Board at the time of approval of CAFI's annual report (i.e., in June every year).

Role as per Manual of Operations ²³	Mechanisms, tools, platforms and availability	Frequency & comments
Results		
1. Support the EB in monitoring and evaluation of the achievement of the milestones in each country's LOI	Milestone matrix shared with - EB ahead of country sessions of EB meetings - regularly with the country working groups	Ongoing

²¹A full list of evaluation guidance will be compiled for each Implementing organization.

²² <http://www.cafi.org/sites/default/files/2021-12/2021%2012%20-%20CAFI%20Terms%20of%20Reference%20ENG%20-%20Revised%20December%202021.pdf>

²³ In the case of the DRC, a specific table will be developed to clarify respective roles and responsibilities of the CAFI and FONAREDD Secretariats

2. Participate in the monitoring of the portfolio of CAFI-funded programmes	<p>1) CAFI Sec reviews the quality of programme proposals and the logic between inputs, outputs and outcomes</p> <p>1) CAFI Sec sits in programme steering committees and makes reports accessible to donors on Google Drive (eg here)</p> <p>2) CAFI Sec on Steering and Technical Committee of FONAREDD, with reports accessible to donors on Google Drive (here)</p>	<p>Rolling basis</p> <p>Rolling basis – Programme steering committees usually occur at least twice a year (i.e. 60 meetings a year)</p> <p>There are approximately 10 FONAREDD Technical Committee meetings a year</p>
3. Organize and implement the assurance plans under the Harmonized Approach to Cash Transfer (HACT) framework for cash transfers to other implementing organizations	Internal documents	Rolling basis
4. Prepare progress reporting (annual, provisional and final) by consolidating Implementing Organization reports using the M&E scorecards and other tasks specified in the M&E framework.	Public annual reports	Annual
5. Organize mid-term and end-term independent evaluations of the Fund's performance	Independent evaluation	One was organized in 2020. Next one could be in mid-2023. Final one in 2027.
Finance		
6. Review financial reporting (annual and final) by Implementing Organization reports through the M&E scorecards.	Annual consolidated report	Annual
7. Monitoring program delivery rate and report back to the Executive Board	<p>Presentation at EB meeting (example (accessible to EB only) on slide 10 here).</p> <p>Consolidated in annual reports through programme performance scorecards.</p>	Annual
8. Review and approve project budgetary revision requested by agencies below 25%.	Decisions made in the context of the Steering Committees of the programs	Ad-hoc
9. Submit to the EB budgetary revision above 25% over the allocated total budget or if there are substantial changes in the program document as		Ad-hoc

described under Program and budget revisions section of the MOP below		
10. Approve installments of payment based on agency performance, program document and annual workplans approved by the EB (see section on Reporting)		Ad-hoc
11. Coordinate programmatic closure of Fund and potential request for program extension with the MPTF-O, the EB and implementing organizations.		Ad hoc
Risks and safeguards		
12. Monitoring and risk management through the risk management dashboard.	Risk Dashboard (see here).	Ongoing, with annual reporting
13. Gender monitoring	Annual report of the CAFI Fund, based on five criteria	Annual reporting
14. Coordinate with the implementing organizations on reporting related to sexual exploitation, abuse and harassment by consolidating information in the reports provided by the implementing organizations and by preparing quarterly updates to the Executive Board based on feedback received from the implementing organizations	Reporting template for IOs contains section to report on, info then consolidated into annual report of the CAFI Fund	Ongoing, with quarterly oral updates and Annual reporting
15. Coordinate with the implementing organizations on misuse of fund allegation reporting as per the Legal framework of the Trust Fund and consolidate information at the fund level from the reports provided by the implementing organizations and by preparing quarterly updates to the Executive Board based on feedback received from the implementing organizations.	Reporting template for IOs contains section to report on misuse of fund allegation. The information is consolidated into the annual report of the CAFI Fund.	Ongoing, with Annual reporting
16. Consolidate Cancun Safeguards reporting at the	Reporting template for IOs contains section to report on the safeguards. The information is	Annual reporting

fund level as per the TORs of the Trust Fund	consolidated into the annual report of the CAFI Fund.	
17. Oversee the complaints management mechanism of the fund	Reporting template for IOs contains section to report on complaint management mechanisms. The information is consolidated into the annual report of the CAFI Fund. Monitor complaints at fund level on CAFI website, as per complaints mechanism in the MoP	Ongoing – annual reporting
18. Consolidate information on complaints management mechanisms and whistleblower protection mechanisms of the implementing organizations	Reporting template for IOs contains section to report on complaints management and whistleblower protection mechanisms. The information is consolidated into the annual report of the CAFI Fund.	Annual reporting

The review of programmes prior to approval (although listed under programming responsibilities of the CAFI Sec) also examines the log frame/results frameworks in the programme documents developed by IO, through technical expertise and two independent reviews.

CAFI Sec Organigram : where M&E functions lie

Strictly speaking, M&E functions are indicated with dark blue circles in the CAFI organigram below.

However the CAFI M&E system also draws and coordinates various expertise within the CAFI Secretariat including programming (circled in green, who monitor implementation of programmes), financial and safeguards expertise within the Secretariat. In addition, the Secretariat of the FONAREDD has comprised a number of staff participating in M&E.

5.2.3. Executive Board

As per the CAFI Fund ToR, the EB's role in M&E includes :

- Approve any modification of the strategic direction of CAFI and its overall results framework
- Provide general oversight of the Fund
- Approve the Fund risk management strategy
- Review Fund status and oversee the overall progress against expected results as reported by National Funds/CAFI Programmes consolidated by the Secretariat (through a Risk Dashboard²⁴ and M&E Framework²⁵)
- Review performance targets with Partner Countries based on each Letter of Intent
- Commission mid-term and final independent evaluations on the overall performance of the Fund
- Approve Fund extensions and revisions of the Fund TOR (that contain CAFI's theory of change)
- Organize annual reviews with individual Partner Countries where stakeholders are invited to discuss progress toward performance targets as agreed in the Letters of Intent
- Conduct policy dialogue at high level

Underperforming programmes, whose performance is evaluated using set criteria and compiled in scorecards (see section H.4 below) are brought to the attention of the EB during EB meetings and through the submission of the FONAREDD and CAFI consolidated annual reports.

Ad-hoc evaluations by donors are also envisioned in the MoU : *“Donor(s) may, separately or jointly with other partners, take the initiative to evaluate or review their cooperation with the Administrative Agent and the Participating UN Organizations under this Memorandum of Understanding, with a view to determining whether results are being or have been achieved and whether contributions have been used for their intended purposes.”*

5.2.4. National Governments

The National Investment Frameworks define sets of intended impacts and outcomes specific to countries contexts.

Letters of intent and institutional arrangements provide information about the oversight responsibility of governments, which may be structured in different ways depending on the Letters of Intent.

In these Letters of intent, governments are accountable for the results, while budgets and activities are managed by Implementing Organizations. Furthermore, second tranches of funding to programmes depend on their performance, and their release requires a decision by the CAFI Executive Board. In such conditions, partner governments , while they do not have access to the CAFI Trust Fund, have an oversight and

Commented [BP7]: may need to be revised if EB composition includes country reps as well

²⁴ The Board in decisions XX and XX approved the risk dashboard.

²⁵ Annexed to annual report every year

monitoring role and capacity. To enable these functions, CAFI funds central coordination functions hosted by a coordinating ministry, the Presidency or the Prime minister's office²⁶

6. Learning and knowledge-sharing

6.1 Principles

Learning is supported through a variety of tools, mechanisms, and functions, including monitoring, evaluations, verifications and audits.

CAFI's approach to learning is **to ensure continuous and action-oriented learning**. It is not a theoretical exercise but a repeated process by which **results, processes and funding prioritization improve**.

Lessons learned through the implementation of programmes, including on processes and the achievement of results at various levels and their interconnection,

While some degree of informal and incidental learning is inevitable (and desirable), CAFI's learning system needs to ensure institutional memory.

Lessons learned are based on both experts' knowledge (of or contracted by the CAFI Secretariat and implementing agencies, captured ad-hoc in various technical meetings of the Executive Board and country Working groups) and evaluation experiences that abstract from the specific circumstances to broader situations. They highlight strengths or weaknesses in preparation, design, and implementation that affect an intervention's performance, outcome, and impact²⁷.

Lessons learned documents are prepared punctually at the EB request, but no more than once a year and according to priorities.

6.2 South-South learning

The CAFI Ministerial Declaration stipulates that *"CAFI encourages and is open to support South-South and triangular cooperation programmes. Interested Third country Parties and international organisations are welcome to participate in CAFI by means of programmes that aim, in particular, at capacity building and exchange of experiences and expertise in the implementation of policies that may contribute to fulfilling the objectives set by CAFI, as well as to address the drivers of deforestation and forest degradation."*

South-South learning takes different forms :

- multilaterally : For example, at the discretion of the presenting Government, all partner countries are invited to attend dedicated country sessions of the Executive Board
- as country-to country thematic exchanges. The "exchanges" organized by the SE FONAREDD (called "Cadre d'échanges et de concertation") could be opened to implementing organizations operating outside of the DRC with similar goals (outputs and outcomes)

²⁶ As of March 2022, in Gabon, DRC and Republic of Congo, under different institutional arrangements

²⁷ Adapted from OECD (2002)

- regionally: CAFI's ToR state that "An annual forum with all stakeholders will be organized to update progress, share experiences and obtain inputs. The annual forum will also be an opportunity to explore further collaboration with other Central Africa regional initiatives such as COMIFAC, ECCAS and CBFP." This Forum is flexible in nature. It has taken the form of full day thematic sessions on land-use planning (in 2018).

6.3 North – south and South- North learning opportunities, depending on stakeholder demand

Also called "CAFI Dialogues", these learning exchanges gather Governments, EB members, INGOs and research institutes. CAFI organized such exchanges as a roundtable on forestry (2018) and as a two-day dialogue hosted by GIZ in 2019 on the complex causes of forests loss in the region, the role that community forestry can have to secure lands and sustainable revenues, and possible solutions to address the growing domestic and international demand in timber.

6.4 Making information accessible and centralized

Learning needs to rely on accessible, centralized, curated documentation that ranges from articles published in peer-reviewed literature to internal audits or evaluations. Because information ranges from fully public to internal to the Executive Board, CAFI's learning system will manage differentiated access to information.

CAFI will organize a system that makes the following information more accessible:

- Database of published articles that support CAFI's programmatic choices (example in Annex A for agriculture, searchable by country and topic)
- A database of evaluations – accessible in folders dedicated to each programme of the CAFI portfolio and in a centralized location
- An annual assessment of the portfolio (in annual reports)
- Results as per CAFI's framework (already annexed to the CAFI Annual report)
- Studies on selected aspects of the performance and objectives of programmes

Additionally a platform that summarizes and provides easy access to what is known and what is not will be eventually set up. It will help access and visualize, for each outcome and possibly output of the CAFI ToC:

- What the evidence tells us (in terms of effectiveness of interventions)
- Where it comes from, informing **the strength of evidence**, for example
 - o one or multiples sources?
 - o specific to the Centra African region or global?
 - o originating from programme reports, opinion pieces, or peer-reviewed publications ?
- If cost effectiveness studies exist, what are their conclusions.

This platform is also informed by information that is only accessible to donors in the Executive Board, who are expected to actively share information they receive from bilaterally-funded projects.

7 Gap filling and long-term capacity building on ME&L

When programmes are not designed or not able to report on CAFI results indicators, especially at the outcome level, CAFI has two modalities

- a. CAFI Funds baseline studies as part of preparatory grant and feasibility studies, based on harmonized methodologies
- b. CAFI designs and supervises research studies that provide additional data.

Some principles of these studies are that they are based on state of the art and agreed methodology; they seek economies of scale and replication across countries and programmes; to the most possible extent, they utilise and build the capacity in local universities in the Central African region

Annex A: references

Monitoring and evaluation policies of large Funds

- GCF <https://ieugreenclimate.fund/document/evaluation-policy-gcf>
- FFEM https://www.pseau.org/outils/ouvrages/ffem_guide_evaluation_2007.pdf
- OCDE/DAC (<https://www.oecd.org/dac/evaluation/dacriteriaforevaluatingdevelopmentassistance.htm>)
- European Commission (https://ec.europa.eu/international-partnerships/system/files/evaluation-matters_en.pdf)
- CIF MEL Policy : https://www.climateinvestmentfunds.org/sites/cif_enc/files/meeting-documents/joint_ctf-scf_tfc.25_4.1_cif_monitoring_evaluation_and_learning_mel_policy_and_guidance.pdf

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- **Phelps J. et al., 2012.** Agricultural intensification escalates future conservation costs.
- **Pirard, R. et Treyer S., 2010.** Agriculture et déforestation : quel rôle pour REDD+ et les politiques publiques d'accompagnement ? *IDDRI N°10/2010*
- **Virginia R. G. et al 2020.** Agricultural intensification and land use change: assessing country-level induced intensification, land sparing and rebound effect *Environ. Res. Lett.* 15 085007

Annex B: Definitions of criteria used in monitoring, evaluations and verifications

The following criteria have been compiled to ensure a common understanding.

While this list is comprehensive, not all criteria are used in all processes such as independent review prior to programme approval, routine monitoring, mid-term & final evaluations or verifications.

Criteria	Definition	Lead institutions* that use or recommend the criteria
Compliance	Compliance with CAFI templates.	
Clarity	The extent to which information is presented in a clear and concise manner, accessible to external readers. The relationship between causes and effects is presented in a way that is easy to understand, and repetition is avoided.	
Relevance	The extent to which programme objectives and design respond to beneficiaries' needs, the objectives and milestones of LOIs signed between CAFI and the partner countries, the SDGs, the National Investment Frameworks and applicable national policy objectives (including national poverty reduction objectives), and continue to do so if circumstances change.	OECD, GCF, EU
Coherence	The compatibility of programme strategies and objectives with other interventions within the partner country or the relevant sector(s) of the LOI (across the Central African region), and the implementing organisation's strategy for and ability to ensure coordination and complementarity with other relevant programmes and initiatives in the sector and country.	OECD, GCF, EU
Economy	The extent to which programmes minimise and optimise the cost of resources (inputs) used or required – spending less.	UK National Audit Office
Effectiveness	The extent to which interventions have achieved, or are expected to achieve, its objectives and intended results (i.e., LOI objectives and milestones, CAFI outcomes and outputs, and/or outcomes and outputs defined in programme results frameworks), including any differential results across beneficiary groups.	OECD, GCF, EU, FFEM, UK National Audit Office
Efficiency	The relation between resources/inputs spent (funds, expertise, human resources, time, etc.) and results achieved at output level. Includes the measure of programmes' financial delivery against planned budgets (annual and cumulative) and per outcome and outputs, annual/semi-annual disbursement rate compared to PTBA, cumulative disbursement rate and its annual evolution, share of operational and indirect costs.	OECD, GCF, EU, FFEM, UK National Audit Office
Value for money	Combines the three criteria above: overall assessment of the effectiveness, efficiency and economy of programmes.	UK National Audit Office

Sustainability	The extent to which programmes provide and successfully implement a sound strategy enabling the continuation of net benefits of interventions after CAFI's support has been completed, taking into account technical, sociocultural, financial, economic, organisational, environmental and territorial sustainability.	OECD, GCF, EU, FFEM
Replicability and scalability	The extent to which programmes provide and successfully implement a sound strategy enabling the scaling up or replication of interventions in other locations within the country or in other countries.	
Impact	The extent to which programmes have contributed or are likely to contribute to the two desired impacts outlined in the CAFI Theory of Change (emission reductions and removals from the land use sector, and development co-benefits).	OECD, GCF, EU, FFEM
Immediate effects	The measure of immediate effects - direct or indirect, positive or negative - of programmes when it is too early to assess programme impacts.	
Measurability	The extent to which programmes have a sound results framework based on the CAFI's defined outcomes and outputs, with SMART (specific, measurable, ambitious, realistic and time-bound) indicators, collect and/or ensure the availability of necessary data and reports on these indicators in programme reports.	FFEM
Country ownership	The extent to which the programmes provide and successfully implement clear modalities ensuring and strengthening the appropriation, ownership and embeddedness of programmes by/in national and provincial authorities and institutions.	GCF
Equity for beneficiaries	The extent to which interventions provide and successfully implement strategies that make sure services are available to and reach all people that they are intended for, giving particular consideration to under-represented groups such as indigenous peoples, local communities and ethnic minorities, as well as aspects related to age and gender.	UK National Audit Office
Transparency and integrity	The extent to which adequate measures are planned and implemented to prevent and respond to sexual exploitation, abuse and harassment, fraud and corruption, and the extent to which the programmes operate effective complaints management systems through which they receive and treat complaints that impact the financial, programmatic or safeguarding integrity of the CAFI Trust Fund.	
Gender	The programmes provide, successfully implement and report on a sound strategy for integration of the gender dimension, and of women in particular, based on CAFI's five gender criteria: (i) delivery of a gender analysis at the stage of programme conceptualisation aimed at identifying ways in which the programme can generate socio-economic benefits for women, (ii) allocation of budgetary resources to measures that generate socio-economic benefits for women, (iii) implementation of planned measures that generate socio-economic benefits for women, (iv) definition and reporting on results indicators regarding the generation of socio-economic benefits for women, and (v) definition, implementation and reporting on measures that ensure the participation of women in programme governance structures.	

Inclusive and effective governance	The extent to which programmes have clearly defined, functional and inclusive, multi-actor governance structures that meet regularly, have operational and adequate decision-making mechanisms, and ensure sufficient information and documentation to members and relevant stakeholders.	
Other social and environmental safeguards	The extent to which interventions implement social and environmental safeguards including - but not limited to - to ensure the conservation of natural forests, biological diversity and ecosystems, promote sustainable livelihoods, address the risks of reversals and take actions to reduce displacement of emissions (if applicable), respect national and international legal frameworks, take into account national sovereignty and circumstances, ensure compliance with human rights obligations under international law.	
Beneficiaries' satisfaction	The measure of programme beneficiaries' (direct and indirect) self-reported satisfaction with programme outputs.	
Risk mitigation	The extent to which risks are identified and foreseen, and risk mitigation measures identified and implemented.	
Visibility and communication	There is a clear communication strategy in place at the level of the programmes and the Fund as well as necessary funds and expertise available to implement it; the implementation of the communication strategy is reported on regularly. The Fund and programmes are well known by relevant stakeholders, including institutional actors and the civil society.	
Innovation in result areas	The extent to which tried and tested approaches are coupled with innovative strategies and measures that are likely to contribute to a paradigm shift towards low-emission, low-deforestation and climate-resilient development pathways.	GCF
Unexpected positive results	Implementing organisations report on unexpected positive results of their interventions.	GCF
Unexpected negative results	Implementing organisations report on unexpected negative results of their interventions.	GCF

Annex C : internal evaluations and audits

The following programmes that have been subject to internal evaluations by Implementing Organizations as of March 2022. As this is a living document, this list will be updated in a separate document.

Programme	IO	Date	Availability
PROMIS – Family planning	UNOPS		
Mongala PIREDD	Enabel		

Commented [EF8]: Living document - will remove from this policy and provide a link when list is completed with help from IOs

Annex D : Comparative note on “beneficiaries” definitions

This note was compiled by the CAFI Secretariat to collect how different funds define beneficiaries, and guide a conversation that will help adopt a common definition and therefore improve consistent reporting, especially at linked to CAFI’s 2nd impact (numbers of beneficiaries, poverty reduction)

1. United Nations Development Group (UNDG)

No definition of beneficiaries and no mention of *direct beneficiaries*.²⁸

2. Global Environment Facility (GEF)²⁹

Direct beneficiaries are defined as “number of individuals (disaggregated by sex) who receive targeted support from a given GEF project/activity/ and/or who use the specific resources that the project maintains or enhances”. No mention of indirect beneficiaries.

Targeted support is defined as “the intentional and direct assistance of a project to individuals or groups of individuals who are aware that they are receiving that support and/or who use the specific resources” (either monetary or non-monetary).

3. Green Climate Fund (GCF)³⁰

Beneficiaries receive support that are defined within two dimensions:

- a) *Targeted support* (received by individuals who can be identified and counted by the project and are aware they are receiving support) vs. untargeted support.
- b) *Intensity of support*;
 - o Low (for ex: individuals living within an administrative area where the authority receives capacity building support)
 - o Medium (for ex: individuals who receive flood warnings alerts by text message)
 - o High (for ex: individuals who receive cash transfers, trainings, agricultural services etc.)

Direct beneficiaries are defined as “number of individuals (disaggregated by sex) who receives targeted support of high intensity”.

Indirect beneficiaries are defined as “number of individuals (disaggregated by sex) who receives targeted or non-targeted support of medium intensity”.³¹

²⁸ As per its “[Results-based management handbook](#)” and “[Monitoring and evaluation UNDAF companion guidance](#)”

²⁹ As per its “[Guidelines on core indicators and sub-indicators](#)”

³⁰ As per its “[Integrated Results Management Framework](#)”

³¹ If data on individuals is not available, households could be reported and converted into individuals based on average number of people per household in a given context.

4. The Global Fund

Unique beneficiaries are defined as “number of individuals supported with the defined package of interventions as part of a program”.³² More generally, beneficiaries are not included among main indicators linked to impact³³, outcome³⁴ and coverage (of health facilities, products, service delivery etc.).³⁵

5. The Adaptation Fund

Same definitions as the GCF (see above).³⁶

6. The World Bank (WB)³⁷

The WB is interested in the *extent of coverage*, being legal coverage (groups covered by statutory schemes) or effective coverage (persons covered within the whole population or target group). The *effective coverage* identifies two sub-groups:

- *Protected persons* (= indirect beneficiaries) have benefits guaranteed but are not necessarily currently receiving them
- *Actual beneficiaries* (= direct beneficiaries) are defined as the proportion of the population affected by a certain contingency who actually receive the respected benefit.

³² As per its [“Measuring framework for adolescent girls and young women programs”](#)

³³ Measured in for example number of infections or a percentage of people living with a disease (the people involved are thus not considered beneficiaries)

³⁴ Measured in for example a percentage of people living with HIV who reports cases of discrimination (the people involved are thus not considered beneficiaries)

³⁵ As per its [“Modular framework handbook and core set of indicators”](#)

³⁶ As per its [“Methodologies for reporting Adaptation Fund core impact indicators”](#)

³⁷ As per its [“Analytical techniques and considerations for evaluating Performance of SPL Programs - Welfare, Living Standards and Poverty Assessments”](#)