



CAFI Results Framework

Revised version, adopted at the 14th Executive Board meeting

– 25 October 2019 –

1. Context

The revision of the CAFI results framework is the result of work that integrated:

- Several expert meetings and written contributions from Norad, GIZ and UNDP during 2017, 2018 and 2019.
- A reflection on the applicability of these indicators carried out with the countries, in particular the Democratic Republic of Congo (DRC) through daily work with the Executive Secretariat of the FONAREDD, three workshops with implementing agencies and a CAFI mission dedicated to monitoring and evaluation.

These meetings focused in particular on assessing the ease and feasibility of collecting information for these indicators in a reasonable timeframe.

- Exchanges with the CIFOR on data collection and alternative measures.

The major changes in this framework are as follows:

- Reformulation of certain impact and outcome indicators
- Removal of indicators for which data are unlikely to be collected
- Collection of baselines and targets, based on Letters of Intent and programmes
- Expected frequency of data collection
- Addition of indicative output indicators

2. Overview of the framework

The framework now features

- [6 impact indicators](#)
- 33 outcome indicators
- 29 outcome indicators (to be primarily measured by programmes)

The outcome and product indicators are spread across outcomes as follows

	Agriculture	Energy	Forests	Mines and hydrocarbon	Land use planning and tenure	Demography	Governance	<i>Total</i>
Outcome indicators	5	5	6	3	5	4	5	33
Product indicators	6	6	3	1	6	2	5	29
Sub total	11	11	9	4	11	6	10	

This number may seem large. It is justified by the fact that in order to reflect CAFI's theory of change, measuring, for each outcome, both the existence and implementation of policies and reforms, 'physical' outcomes (e.g. hectares) and development outcomes (e.g. nutrition, income) is essential. In addition, the lack of reliable data, or data for which collection is feasible, often requires the use of one or several proxies.

Impact indicators

The level of impact corresponds to CAFI's **sphere of interest**.

These indicators correspond to the two desired impacts of CAFI, namely i) contribution to climate change mitigation through forests and ii) poverty reduction. The data sources for these indicators are the UNFCCC and the SDG reports, respectively. It should be noted, however, that on the latter point, recent reports on SDG indicators remain (very) poorly provided for Central African countries.

Outcome indicators

The level of impact is within CAFI's **sphere of influence**, and corresponds to changes in behaviour (e.g. reforms and changes in policies, institutions, private sector practices, and individuals).

Product / progress indicators

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

Progress indicators are output, and often country-specific. They are derived from programme indicators and are set out below for the DRC. They could be different, when relevant, for other countries.

The addition of these indicators was justified by:

- i) the impossibility to collect effect data before the end of a programme due to bio-physical reasons: for example, fuelwood from acacia plantations will only be collected 6 to 7 years after planting. Although estimates are conceivable in year 5 / or end of a programme), it is necessary to be able to measure progress more quickly, through the number of planted hectares.
- ii) A clear lack of homogeneity in indicators from different provincial integrated programme in DRC, an issue that could be reiterated in other countries where several integrated programmes are envisaged, especially in countries without a National Fund.

These indicators were not subject to approval by the CAFI Executive Board, and only are indicative. Output statements have been added to clarify the results that these indicators help measure.

Applicable countries

The country of applicability depends on CAFI's support in a given area, expressed through Letters of Intent concluded with its partner countries (DRC, Gabon and Republic of Congo as of end 2019), as well as CAFI-supported national strategies or investment frameworks (through technical support and/or funding) and programmes for their implementation.

The outcome indicators are formulated to be applicable to each country, **but data will only be required when the corresponding sector is supported by CAFI (through the CAFI Fund, or possibly through aligned investments)**. In other words, it is not expected that all indicators will be measured in all countries, as this depends on CAFI support through funding programmes.

However, where these indicators are linked to a Letter of Intent but the funding does not come from the CAFI Fund (e.g. support to forest governance in Gabon, or during the policy dialogue), an effort should be made to examine how these indicators can be reported.

Under the current framework, **only countries for which a Letter of Intent has been signed with CAFI are therefore considered, with the exception of governance indicators** that apply to all CAFI partner countries. This framework will evolve as expected results and ambitions (targets) are determined in Letters of Intent.

Baselines and data

CAFI's initial approach (decided in 2016 through an Executive Board decision), was to entrust the collection of all data, including baselines, to funded programmes. Experience in the DRC has shown that this approach is not sufficient. While the percentage of output indicators for which a baseline exists is close to 90%, this figure drops to 66% for outcome indicators.

It is important to note that the collection of baselines is an ongoing exercise, which is enriched as these elements emerge from programmes or other sources of information.

Data sources and collection/reporting

The last column of the tables below currently lists the programmes corresponding to the indicators. However, some programmes are not approved, and, as seen above, depending on programmes for data collection has shown its limits in the DRC (despite recent improvements). In DRC, the Executive Secretariat of the FONAREDD could (and in some cases seems to have planned to) substitute programmes for the collection

of some information. This would notably have the advantage of ensuring monitoring of results beyond the timeframe of the programmes in a Fund approach, and allow better national ownership of monitoring and results.

In cases where baselines are still missing at the time of the adoption of the framework, although a Letter of Intent has been signed for more than two years, a new approach is proposed (see Annex). Tested by CIFOR for the FLEGT and VPA process, this approach will assess, after 3 years of implementation of CAFI-funded programmes, i) change, as perceived by a number of selected experts and ii) the perception of CAFI's contribution to this change.

This approach complements certain indicators (and appears as an additional means of verification in the last column). These indicators (in italics) can be categorized as follows:

- (i) New indicators that reflect private sector involvement
- (ii) Indicator F.E-2 on "proportion of illegal timber": 6 new sub-indicators have been added, based on the work done on FLEGT.
- (iii) Indicators to assess the quality of reform implementation

3. Impact indicators

Impact 1: Emissions and absorptions

Indicator	Data collection frequency	Applicable country	Baseline	Target	Means of verification
I-1 Emissions (tons of CO₂eq)	Every 2 years	All	<p>DRC: 2010-2014: 830,53 ± 66,73 MtCO₂eq.</p> <p>Estimations¹ 2015: 979 MtCO₂eq 2016: 1 028 MtCO₂eq 2017: 1 078 MtCO₂eq 2018: 1 128 MtCO₂eq 2019: 1 777 MtCO₂eq</p> <p>Gabon: net emissions for 2005 (date selected in the INDC): 685,408.58 tCO₂eq 2010: 66,189,465.82 tCO₂eq 2015: 51,368,472.97 tCO₂eq²</p> <p>RoC: 35.48 MtCO₂eq/year for the 2000-2020 period (historical with adjustments for 2015-2020³)</p>	<p>General target: reduction</p> <p>In DRC, provincial integrated programmes aim at a 10% reduction in emissions. Their cumulative targets total 42 MtCO₂eq over the duration of the programme (5 years). Not all provincial integrated programmes, nor sectoral programmes, have clear targets.</p> <p>Gabon: reductions of emissions from the LULUCF of 50% by 2025 (compared to 2005)</p>	<p>DRC: NFMS programme</p> <p>Gabon: a FREL and biannual report will be submitted to the UNFCCC</p>
I-2 Absorptions (tons of CO₂eq)	Every 2 years	Gabon (2019, addendum to the Lol)		Gabon: stabilization or increase	Gabon: FREL and biannual report will be submitted to the UNFCCC

¹ FREL 2018. Data for 2016-2018 will be available mi-2019.

² See table and analysis on page 10 of http://www.cafi.org/content/dam/cafi/docs/Gabon%20documents/French/Gabon_pRODOC_AFD_CAFI_FINAL.pdf

³ FREL 2016. The FREL will be revised in 2024

I-3 Annual rate of deforestation and degradation (hectares per year and %)	Every 2 years	All	<p>DRC: 2010 - 2014: 7 005 535.30 (+/- 813 005.33) hectares loss to deforestation⁴, or 1,750,000 hectares per year. 2016-2018 data expected mid 2019 for the country and per province</p> <p>Gabon: gross deforestation for the 2010-2015 period is estimated at 96,230 hectares; net deforestation: 59,406 hectares⁵</p> <p>RoC: 12,000 hectares/ year for the 2000-2012 period⁶.</p> <p>Equatorial Guinea: annual degradation rate of 0.9% for the 2004-2014 period</p>	<p>General: reduction of annual rates of deforestation and degradation compared to reference scenario</p> <p>RDC: objective to stabilize forest cover at 63.5%</p> <p>Gabon: annual conversion ceiling of 10,000 hectares; long term cap will be determined in June 2020.</p> <p>RoC annual ceiling of 20,000 hectares per year</p>	<p>DRC: NFMS programme (with DIAF). Submission of the biannual report to the UNFCCC</p> <p>Gabon: AGEOS, through the BUR</p>
<p><i>Output : data allows real time monitoring</i></p>					
Number of deforestation alert i) produced ii) reported iii) followed by ground intervention	Annual	Gabon	No operational deforestation alert system	Targets not yet set	

⁴ FREL 2018

⁵ See table and analysis on page 11 of http://www.cafi.org/content/dam/cafi/docs/Gabon%20documents/French/Gabon_pRODOC_AFD_CAFI_FINAL.pdf

⁶ Data will be revised in the 2024 FREL

Impact 2: Poverty and sustainable development

Indicator	Data collection frequency	Applicable country	Baseline	Target	Means of verification
I-4 Proportion of population with revenues below 1.25 dollars a day	Same as in SDG report (indicator 1.1)	All	RDC: 76% in 2012 ⁷ Gabon: 3.4% in 2017 Roc: 37% in 2011 Equatorial Guinea: N/A Cameroon: 23.8% in 2014 CAR: 63% in 2008	Increase	UN stats – SDG report ⁸
I-5 Direct beneficiaries' money income (including women, youth and indigenous people)	Mid-term and end of programmes	DRC, in provinces with integrated programmes	DRC: no harmonized methodology to evaluate household revenues ⁹ , but studies were launched in ex-Orientale and Mai Ndombé	DRC: integrated programmes aim at a general increase of 10%	Household surveys conducted by integrated programmes
I-6 Number and ratio of direct beneficiaries compared to the total population of the area of intervention	Annual	DRC	0 at the beginning of the programme	To be clarified by integrated programmes	In DRC, integrated programmes, on the basis of indicator A.P.6 and E.P.6

⁷ For provinces, the 1-2-3 survey provides the following: Equateur: 77.3% ; Province Orientale : 56.9% ; Sud Kivu : 60.2%.

<http://ins-rdc.org/wp-content/uploads/2019/03/Rapport-enquete-123.pdf>. Across the country, this survey estimates that poverty incidence was at 63.4% in 2012.

⁸ <https://unstats.un.org/sdgs/indicators/database>

⁹ The FONAREDD Secretariat will develop a household survey methodology.

4. Outcome and product indicators

Outcome indicators appear at the top and are marked as “X.E.X”, from the French word “effet” (outcome); product indicators appear below and are marked as “X.P.X”.

Outcome 1 – Agriculture encroaches less on forest lands

Indicator	Data collection frequency	Applicable country	Baseline	Target	Means of verification
A.E. 1 Forest surface area converted to agriculture (hectares) – distinguishing commercial agriculture from slash-and-burn (Contributes directly to impact 1)		DRC Gabon RoC	DRC: Not available. ¹⁰ Should be available during 2019. Gabon: between 2010 and 2015, 19,817 hectares net lost within agro-industrial concessions ¹¹	DRC Gabon Lol: 10,000 hectares annual ceiling RoC: 20,000 hectares annual ceiling (total)	
A.E. 2 Existence, implementation and supervision of policy and legal frameworks that limit the conversion of forests into agricultural concessions (by specifying the size of those concessions) (Contributes directly to impact 1)	Annual	DRC Gabon	DRC: such frameworks do not exist Gabon: baseline under development (oil palm strategy + four other crops and analysis of the national land use plan (PNAT V0)) RoC: inter-ministerial order (2018) establishes a 5-hectare limit	Existence/improvement of implementation quality (DRC, Gabon) DRC Gabon RoC: implementation of order	Existence: Policy and legal texts <i>Implementation and review: Perception surveys (experts)- cf Annex</i>
A.E.3 Productivity (in metric tons/hectare and for each crop) on surface areas supported by the programmes (Contributes directly to impact 1 and 2)	Year 2 of the programme (when relevant, e.g., cassava) and end	DRC Gabon	DRC: MINAGRI survey of the 2017-2018 agricultural year provides statistics by crop for reference	Productivity on surface areas receiving support is greater than on those that are not	In DRC, integrated programmes based on

¹⁰ For 2017, the report that WRI submitted to FAO notes: village-based agricultural conversion: 100 ha and industrial agricultural conversion: 550 ha, but there are 16,000 ha of deforested surface areas for which the driver cannot be identified officially.

¹¹ See Note 1, Figure 2, page 11 of the National Investment Framework

					sampling of beneficiaries <i>Perception surveys (experts)- cf Annex</i>
A.E. 4 Share of imported foodstuffs (Note: this indicator is linked to sustainable development and serves as a proxy for national production) (Contributes directly to impact 2)	Mid- and end of programme		In Gabon, importation of CFAF 280 billion of foodstuffs in 2012 ¹²	Reduction In Gabon, quantifiable goal to be determined	Official figures reported by the Ministry
A.E. 5: Change of practices by small and medium-sized businesses to address deforestation caused by agriculture (Contributes directly to impacts 1 and 2)	End of programme	DRC	No baseline – survey focuses on change	Increase	<i>Perception surveys (experts) – cf Annex</i>
<i>Output: rural development is better supported and structured</i>					
A.P. 1 Percentage and number of environmental impact studies prepared before an agricultural concession is granted (Contributes directly to impact 1)	Annual	DRC	DRC: 0 in 2018 Gabon: 100%	<i>DRC: Increase Gabon: maintain</i>	In DRC, the sustainable agriculture management programme (GDA)
A.P. 2 Georeferenced hectares of new agroforestry crops	Annual	DRC Gabon	0	In DRC, total PIREDD	In DRC, integrated provincial

¹² See Note 1, page 55 of the National Investment Framework

(Contributes directly to impact 2 and indirectly to impact 1)					programmes (PIREDDs)
A.P. 3 Georeferenced hectares of new perennial crops on savannahs	Annual	DRC Gabon	0	In DRC, total PIREDD	In DRC, the PIREDDs
(Contributes directly to impact 2 and indirectly to impact 1)					
A.P.4 Georeferenced hectares of new sustainable crops in forests	Annual	DRC	0	In DRC, total PIREDD	In DRC, the PIREDDs
(Contributes directly to impact 2 and indirectly to impact 1)					
A.P. 5 Hectares of improved food agriculture (a) on savannahs and (b) in forests	Annual	DRC	0. Reference situation (for comparison): 27 M ha in 2017 (MINAGRI)	In DRC, total PIREDD	In DRC, the PIREDDs
(Contributes directly to impact 2 and indirectly to impact 1)					
<i>Output: CFI support to the agricultural sector reduces poverty</i>					
A.P. 6 Number of households receiving food agriculture support (a) on savannahs and (b) in forests	Annual	DRC	0	In DRC, total PIREDD	In DRC, the PIREDDs
(Contributes directly to impact 2)					

Outcome 2 – Consumption of unsustainable wood energy decreases

Indicator	Data collection frequency	Applicable country	Baseline	Target	Means of verification
<p>E.E. 1 Ratio of metric tons of wood from new sustainable sources (protected + agroforestry plantations) to metric tons of total production ¹³</p> <p>(Contributes directly to impact 1)</p>	End of programme	DRC	No estimate of sustainable fuelwood production before Year 5 of the programme, at the soonest	Increase	In DRC, the PIREDDs and the Energy Programme
<p>E.E. 2 Average savings (in USD) to households using clean cooking solutions</p> <p>(Contributes directly to impact 2)</p>	Mid- and end of programme	DRC	Will be available in 2020 (CIRAD study)	Increase	In DRC, the Energy Programme
<p>E.E.3 Existence (or progress toward adoption) and implementation of national or subnational energy policies for sustainable management and alternatives to fuelwood</p> <p>(Contributes directly to impact 1)</p>	Annual	DRC RoC	DRC: RoC: Energy sectoral policy exists	DRC: adoption RoC: sectoral policy on energy implemented	In DRC, the Energy Programme Existence: Policy and legal texts <i>Application and review: Perception surveys (experts) – cf Annex</i>
<p>E.E. 4 Existence (or progress toward adoption) of an implementation strategy that includes supply and demand questions and substitution issues</p> <p>(Contributes directly to impacts 1 and 2)</p>	Annual	DRC	Did not exist in 2018 when the Energy programme was approved	In DRC, adoption	In DRC, the Energy Programme Existence: Policy and legal texts

¹³ Obtained by extrapolation before establishing plantations or protection; that is, surface area X estimated yields = metric tons anticipated at the end of Y years. The PIREDDs enter the numerator and the Energy Programme enters the denominator.

					<i>Application and review: Perception surveys (experts) – cf Annex</i>
A.E.55: Change of practices by small and medium-sized businesses to address deforestation caused by fuelwood (Contributes directly to impacts 1 and 2)	<i>End of programme</i>	<i>DRC</i>	<i>No baseline – survey focuses on change</i>	<i>Increase</i>	<i>Perception surveys (experts) – cf Annex</i>
<i>Output: Availability and use of improved energy solutions increases</i>					
E.P. 1 Access to updated data on sustainable fuelwood (such as number of publications, frequency of updating on programmes' websites) (Contributes indirectly to impacts 1 and 2)	Annual	DRC	DRC: CIRAD 2012 fuelwood study exists	Increase	In DRC, the Energy Programme
E.P. 2 Number of improved stoves distributed/sold (and total number of households) and in which territory, sector, group and village (Contributes directly to impact 2 and indirectly to impact 1)	Annual	DRC	0 at start of programme	Increase In DRC, PIREDD PO planned for 12,200 improved stoves	In DRC, certain PIREDDs
E.P. 3 Rate of adoption and profile of use of clean cooking solutions (LPG or improved stoves) in target zones (Contributes directly to impact 2 and indirectly to impact 1)	Mid- and end of programme	DRC	Not available	Increase	In DRC, certain PIREDDs
Output: production of sustainable fuelwood increases					
E.P. 4 New surface areas and their agroforestry and reforestation georeferenced data (hectares)	Annual	DRC	0 at start of programme	Increase	In DRC, the PIREDDs

(Contributes directly to impacts 1 and 2)					
E.P.5 New surface areas protected and their georeferenced data (hectares) (Contributes directly to impact 1 and indirectly to impact 2)	Annual	DRC	0 at start of programme	Increase	In DRC, the PIREDDs
<i>Output: employment increases in the sector of improved energy solutions</i>					
E.P. 6 Number of jobs created (by the programmes) throughout the value chain¹⁴ (Contributes directly to impact 2)	Mid-term and end of programme	DRC	0 at start of programme	In DRC	In DRC, the PIREDDs and the Energy Programme

¹⁴ 1. in the production of sustainable fuelwood; ii. In its processing; iii. In the production and marketing of improved stoves

Outcome 3 - Forest governance and managements are improved

Indicator	Data collection frequency	Applicable country	Baseline	Target	Means of verification
<p>F.E.1a Surface areas (in ha) and percentage of forests with management plans</p> <p><i>F.E. 1b: quality of land use plan implementation</i></p> <p>(Contribute directly to impact 1)</p>	Annual	DRC Gabon RoC	In DRC, as of 7 December 2018, eight forest concessions had validated management plans (covering a surface area of 2,158,329 ha)	RoC (2023): 100% of Forest Management Units assigned have an approved Land Use Plan	PGDF (Sustainable Forest Management Programme) <i>Perception survey of management plan implementation – cf Annex</i>
<p><i>F.E. 2 a) share of illegal wood on domestic markets</i></p> <p><i>F.E. 2b) share of illegal wood for export</i></p> <p><i>F.E. 2c) illegal logging in forests with sustainable land use plan</i></p> <p><i>F.E. 2d) illegal logging in type 2 forests</i></p> <p>(Contribute directly to impacts 1 and 2)</p>	Middle and end	DRC Gabon RoC	<i>Specific information not available. Estimates place it at between 0-10% for artisanal wood.</i>	<i>Reduction for all sub-indicators</i>	<i>Perception surveys (experts) – cf Annex</i>
<p>F.E. 3 Surface area under legal or formal artisanal operation (hectares)</p> <p>(Contribute directly to impact 1 and indirectly to impact 2)</p>	Middle and end	DRC RoC	Idem		
<p>F.E.4 National plan developed to combat illegal practices i) validated</p>	Annual	DRC Gabon RoC	DRC: No plan exists	RoC: implementation of	PGDF (Sustainable Forest Management Programme)

<p>ii) implemented (estimate the rate and specify practical measures showing implementation)</p> <p>iii) having led to prosecutions (indicate number of cases instituted/completed)</p> <p>(Contribute indirectly to impacts 1 and 2)</p>				VPA-FLEGT and its legality assurance system	
<p>F.E. 5 Percentage of hectares of certified forests</p> <p>(Contribute indirectly to impact 1)</p>		DRC Gabon		Gabon: 100%	
<p>F.E. 6: <i>Small and medium-sized businesses change practices to address deforestation caused by forestry</i></p> <p>(Contribute directly to impacts 1 and 2)</p>		DRC Gabon			<i>Perception surveys (experts) – cf Annex</i>
<p>F.E.7 Surface of community forestry established (hectares)</p>		DR		DRC: 600,000 ha	in DRC, the PIREDDs
<p><i>Output : monitoring of timber legality is effective</i></p>					
<p>F.P.2 Existence and operation of a secure IT system to ensure reliable monitoring of traceability of the legality of wood</p> <p>(Contributes indirectly to impact 1)</p>	Annual	DRC Gabon RoC	In DRC, a new wood traceability system launched in September 2018 (Agency for executing forest-timber sector activities) Gabon: RoC: no system in place	RoC (2022): Computerized Legality Verification System (CLVS) developed, validated and operational	<i>Operationality: perception survey (experts) – cf Annex</i>

Outcome 4 – Impacts of mining and hydrocarbon activities are minimized

Indicator	Data collection frequency	Applicable country	Baseline	Target	Means of verification
M.E.1. Availability of data on the number and surface area (and GIS points) of mining concessions in forests (Contributes directly to impact 1)	Annual		In DRC, not available but external sources exist (IPSIS)	Improvement	In DRC, standard programmes (not approved) In Gabon: AGEOS [Gabonese Agency for Space Studies and Observations]
M.E.2. Existence and implementation of a policy or legal framework, commercial agreements or standards limiting or offsetting the conversion of forests into mines (Contributes directly to impact 1)	Annual	DRC Gabon RoC	In DRC, Article 33 of Law 11/009 of 9 July 2011 establishing core principles pertaining to environmental protection; Articles 14, 20, 25, and 35 of Law 14/003 of 11 February 2014 on Nature Conservation Gabon: Sustainable development law	DRC: the standards programme will specify the target RoC: to be determined	In DRC, standards programme Existence: texts Implementation: <i>Perception surveys (experts) – cf Annex</i>
M.E.3 Kilometres of new transportation infrastructures opened in the forests for mines or other extractive industries, separately identifying railroads (Contributes directly to impact 1)	Annual	DRC Gabon RoC	Not available	Not available	In DRC, standard programmes (not approved)

Output: impacts of infrastructure and mining activities on the forests are anticipated and minimized

<p>M.P. 1 Percentage of new mining and hydrocarbon concessions preceded by an environmental impact study</p> <p>(Contributes directly to impact 1)</p>	<p>Mid-term and end</p>	<p>DRC RoC</p>	<p>Not available</p>	<p>DRC: 100%. The standards programme will specify the goal.</p> <p>Roc: studies prior to any oil production in peatlands to avoid draining or drying them</p>	<p>In DRC, standards programme (not approved)</p> <p><i>Perception surveys (experts) – cf Annex</i></p>
<p>M.P.21 Percentage of new roads preceded by an environmental impact study</p> <p>(Contributes indirectly to impact 1)</p>	<p>Mid-term and end</p>	<p>DRC</p>	<p>100%</p>	<p>100%</p>	

Outcome 5 – Land use planning takes into account forests contribution to climate change, and land tenure is improved

Indicator	Data collection frequency	Applicable country	Baseline	Target	Means of verification
<p>Am.E.1. Existence and implementation of land use planning policies or laws that take account of the contribution of forests and land use to mitigating climate change and to generating other social and environmental benefits</p> <p>(Contributes directly to impacts 1 and 2)</p>	Annual	DRC Gabon RoC	<p>In DRC, does not exist</p> <p>In Gabon, laws, decrees and implementing texts on land use planning do not exist, but the PNAT draft analyses the situation</p> <p>ROC: A national land use scheme (SNAT) exists</p>	<p>Gabon: The PNAT 1 will be the basis of a policy/law</p> <p>Roc: revision of the NTDP, development of the PNAT and departmental land use plans (SDAT) and their implementation</p>	<p>In DRC, PNAT programme</p> <p>In Gabon, National Planning and Development Council (CNAT)</p> <p><i>Implementation: Perception surveys (experts) – Cf Annex</i></p>
<p>Am.E.2 Existence of an interactive atlas mapping juxtaposed land uses. Specify whether this Atlas is produced, updated (frequency), used to coordinate with other sectoral ministries and/or publicly accessible.</p> <p>(Contributes directly to impacts 1 and 2)</p>	Annual	DRC Gabon RoC	<p>In DRC, no such atlas exists</p> <p>In Gabon, the PNAT V0 database is accessible on line but incomplete (2015)</p> <p>RoC: no updated registry</p>	<p>In Gabon, a robust database for the PNAT VF updated and accessible on line.</p> <p>RoC: national mapping of all of the “land use contracts” (registry) produced and provided to the public.</p> <p>Creation of a cross-sectoral land registry (mining, oil, agro-industrial and forestry sectors)</p>	<p>In Gabon, annual PNAT activity reports from AGEOS and PNAT maps are available for consultation on line.</p>
<p>Am.E.3 a) Surface areas of deforestation contradicting the provisions of the plan (5 ha or more, 2 years after validation of the plan)</p>	Beginning 2 years after the plan is validated	DRC Gabon RoC	<p>In DRC, baseline to be established when the plan is completed (programme underway)</p>		<p>In DRC, joint work between the SNSF and the land use planning programme.</p>

(Contributes directly to impact 1)					
Am.E.4 Surface areas where land use disputes are identified and resolved (Contributes directly to impacts 1 and 2)	Mid- and end of programme	Gabon RoC		In Gabon, land use disputes that have been resolved are in the validated PNAT V1	Report of the CNAT legal subcommittee
Am.E.5 Perception regarding the frequency of land use disputes (Contributes directly to impacts 1 and 2)		DRC Gabon RoC	No baseline		Perception surveys (experts) – Cf Annex
Am.E.6 Existence and implementation of an equitable land use policy – including with respect to issues of gender and vulnerable individuals as well as local communities and indigenous peoples – and that ensures sustainable and non-conflictual land management and clarifies land rights with a view to limiting conversion of forest lands (Contributes directly to impacts 1 and 2)	Annual	RoC	In DRC, does not exist ROC: Articles 31 and 32 of the Law of 5 to 25 February 2011 on promoting and protecting indigenous people’s rights	RoC (2023): specific regulatory text adopted and implemented Land dispute redress and resolution mechanism in place and operational.	Implementation: Perception surveys (experts) - Cf Annex
<i>Output: improved governance allows the participatory elaboration of development plans at different levels, based on specific mappings</i>					
Am.P.1 Percentage and total number of regional entities with an established development committee	Annual		In DRC, 0 at the start of the programmes		In DRC, the PIREDDs

(Contributes indirectly to impacts 1 and 2)					
Am.P.2 Number of participatory plans and mechanisms programming/implementing a sustainable medium- and long-term vision for natural resource use (Contributes indirectly to impacts 1 and 2)	Annual		In DRC, 0 at the start of the programmes		In DRC, the PIREDDs
Am.P.3 Number of plans that take account of topsoil stabilization (Contributes directly to impact 1)	Annual		In DRC, 0 at the start of the programmes		In DRC, the PIREDDs
Am.P.4 Surface areas and percentages covered by development plans by type of regional entity (Contributes directly to impact 1)	Annual		In DRC, 0 at the start of the programmes		In DRC, the PIREDDs
Am.P.5 Number of plans covered by a performance contract (or where such contract is complied with) (Contributes directly to impact 1)	Annual		In DRC, 0 at the start of the programmes		In DRC, the PIREDDs
Am.P.6 Number, surface area, and GIS points for village-based territories that are mapped in a participatory fashion (Contributes directly to impacts 1 and 2)	Annual	DRC Gabon	In DRC, 0 at the start of the programmes In Gabon, no georeferenced participatory village-based map is found in the PNAT database.	In Gabon, 750 and/or 29% of villages mapped	In DRC, the PIREDDs In Gabon, AGEOS via the PNAT and programme report

Outcome 6 – Demographic pressure on forests decreases

Indicator	Data collection frequency	Applicable country	Baseline	Target	Means of verification
D.E.1 Number of children per woman (disaggregated by areas of intervention) (contributes directly to impact 1 and indirectly to impact 2)	End of programme	DRC	In DRC, 6.3 children/woman in 2018	DRC: Reduction	Family planning (FP) programme
D.E.2 Percentage of women, married or in a couple, from 14 to 49 years, who use a modern contraceptive method (contributes indirectly to impacts 1 and 2)	Middle and end	DRC	In DRC: All women=8.1%; Women in a couple=7.8%	DRC: increase by 1.5% every year	Family planning (FP) programme
D.E.3 Awareness of reproductive rights (contributes indirectly to impact 2)	Every five years	DRC		Increase	<i>Perception surveys (experts) – Cf Annex</i>
<i>Output: Access to contraception is improved</i>					
D.P.1 Couple-years of protection (CYP) supplied (contributes indirectly to impacts 1 and 2)	Annual	DRC	563, 373 (date to be provided)		FP programme
D.P.2 Numbers and locations of health centres supported by the programmes (contributes indirectly to impacts 1 and 2)	Annual	DRC	0 at start of programme		FP programme
<i>Output : Understanding of migratory movements that impact forests is improved</i>					
D.E.3. Number of individuals (disaggregated by gender) migrating from non-forest zones to forest zones and vice-versa (contributes indirectly to impact 1)	Once	DRC	In DRC, the data is not quantitative		In DRC, only the PIREDD for the ex-Orientale province planned for this

Outcome 7 – Governance of the process is effective, multi sectoral and multi actors

Indicator	Data collection frequency	Applicable country	Baseline	Target	Means of verification
<p>G.E.1 Quality of civil society representation and participation (including indigenous people) investment plan decisions, their programmes and monitoring</p> <p>(contributes indirectly to impacts 1 and 2)</p>	Every two years	All	In DRC, the indigenous people’s programme regularly conducts surveys focusing on target populations. This is not done for non-indigenous people. In Gabon, the CNAT	Stability or improvement	In DRC, survey of Civil society by the GTCR-R working group
<p>G.E.2 REDD+ Investment Plan indicators incorporated into the country’s National Plan/Development Strategy</p> <p>(contributes indirectly to impacts 1 and 2)</p>			In DRC, 22 Investment Plan indicators in the PNSD.	In DRC, this number is not expected to change.	Coordination office of the “Emerging Gabon” plan
<p>G.E.3 Rate of adoption of recommendations made by the programmes’ steering committees</p> <p>(contributes indirectly to impacts 1 and 2)</p>	Annual		N/A	100%	All programmes
<p>G.E.4 Number of complaints handled/ recorded through official mechanisms</p> <p>(contributes indirectly to impacts 1 and 2)</p>	Annual	DRC Gabon	In DRC, one complaint has been recorded and processed since the mechanism was created.	100%	DRC: FONAREDD Secretariat
<p><i>Output: information accessibility is improved</i></p>					
<p>G.P.1 % of programmes approved for which programme documents are accessible on line</p>	Annual	All	For the DRC and Gabon, all programme documents have been accessible on the CAFI site since	100%	DRC: FONAREDD Secretariat

(contributes indirectly to impacts 1 and 2)			2016. In 2017, the DRC launched its site, and 8/12 of the programmes are accessible there.		
G.P.2 Ratio (%) of the web sites of operational programmes that are updated (contributes indirectly to impacts 1 and 2)	Annual	DRC Gabon	In 2017: N/A	100%	DRC: FONAREDD Secretariat
G.P.3 Rate of publication (on internet site) and regular transmission of the governance institutions' activity reports (contributes indirectly to impacts 1 and 2)	Annual	DRC Gabon	In DRC, some COPIL programme reports are available on the FONAREDD site.	100%	DRC: FONAREDD Secretariat
<i>Output: Inter-sectoral coordination is effective</i>					
G.P.4 Number of meetings between ministers held to discuss the investment plan (contributes indirectly to impacts 1 and 2)	Annual	All	In DRC: COPILs since 2016 In Gabon, CNAT created in 2017	In DRC, twice/year In Gabon, CNAT meeting (interministerial)	DRC: FONAREDD Secretariat
<i>Output: risks of corruption are prevented</i>					
G.P.5 Stakeholders' perceptions regarding the commitment to fighting corruption (contributes indirectly to impacts 1 and 2)	Every five years	All	Not available	Stability or improvement	<i>Perception surveys (experts) - Cf Annex</i>
G.P. 6 Perception of effectiveness of measures taken (sanctions) (contributes indirectly to impacts 1 and 2)	Every five years	All	Not available	Stability or improvement	<i>Perception surveys (experts) - Cf Annex</i>

Annex : Collecting evidence of CAFI’s contribution to desired change to communicate CAFI’s impacts

Context

In the Central African region, “ready to use” data in most sectors of CAFI investments is scarce. Data that could be compiled based on reliable and repeatedly collected data in various Ministries or NGO reports is also difficult to encounter systematically.

To palliate this gap, CAFI had adopted, in 2016, a set of indicators paired with a methodology basing the burden of data collection (at outcome-level) to be borne by country programmes. While baseline data and targets have now been integrated for the first time into programme 2018 annual reports in DRC, they remain at the output level¹⁵, with no real certainty as to whether or when outcome-level baseline can be obtained.

Methodology tested to measure impact of the FLEGT-VPA process

An interesting approach has been recently developed and piloted by CIFOR and ADE for the FLEGT-VPA process in 3 countries including one Central African country (Cameroun¹⁶). Seemingly reliable and easily replicable across countries and time, this approach relies on quantitative perception - based surveys of large numbers of experts.

The central feature of the surveys is its ability to i) assess change between two points in time (*before* and *after* the intervention, the intervention being in this case VPA implementation), and ii) build narratives about the VPA contribution to the observed change.

This methodology is based on the following steps:

- 1) Desk review to provide indicators to measure impacts at different points in time to identify the desired change and possible proxy questions
- 2) Build questionnaire
- 3) Identify a large pool of experts from different entities (public administration, civil society, private sector)
- 4) Organize data collection workshops, essentially asking two questions for each indicator:
 - a) **on a scale of 1 to 5, what is the change you have observed on indicator X**
 - b) **on a scale of 1 to 5, what is the FLEGT-VPA contribution to the change in indicator X?**
- 5) Compiled answers in real time with a tool from Open Data Toolkit
- 6) Adjust in real time, if necessary, the sample size of the expert pool until variance is stable
- 7) Compare survey results in focus group discussions, relevant references from desk review and 2ndary data when available
- 8) Build narrative of impacts and present VPA contribution to these impacts.

¹⁵ See Annex of the [CAFI 2018 Annual report](#)

¹⁶ Not publicly available at the time of writing

Application to the CAFI Framework

The CAFI M&E framework is built on its Theory of Change, which seeks to achieve two main impacts:

- 1) emission reductions from deforestation and forest degradation and enhanced removals
- 2) sustainable development co-benefits

through the following 8 outcomes:

1. sustainable agricultural investments
2. sustainable wood energy investments
3. sustainable forest governance and investments, and enhanced permitting, monitoring and enforcement capacity
4. sustainable siting and development of infrastructure and mining investment
5. optimal land use planning and land tenure
6. reduced demographic pressure on forests
7. Improved governance, inter-ministerial coordination and transparency (including permitting and fiscal policies)

The table below features 23 indicators:

- A selection of the 10 indicators in the CAFI framework for which data is unlikely to be obtained from available data collection sources, and for which the quantitative perception-surveys could be used¹⁷
- 13 new indicators (marked as an asterix) for which this methodology could also be applied, as well (column 3) the existing CAFI indicators that the new indicator would complement

For example, for the first outcome indicator listed below, the questions asked in the survey would read:

- i) “On a scale of 1 (no true) to 5 (absolutely true), how do you rate the following statement: *“the policy and legal framework that limit the conversion of forest to agricultural concessions is effective”*”
- ii) on a scale of 1 (no contribution) to 5 (major contribution), how would you rate CAFI’s contribution to the effectiveness of this policy.

¹⁷ Note that the table only represents the indicators for which perception-based quantitative surveys could be used. Other indicators will be supplied by other means of verification as already envisioned in the CAFI M&E framework.

<i>Outcome (desired change)</i>	<i>Outcome indicator</i>	<i>For new indicators (marked with *), indicate below the existing CAFI M&E indicators that the new indicator complements</i>
1. Sustainable agricultural practices lead to less land conversion and increased food security	A.E.2 Effectiveness of policy and legal frameworks that limit the conversion of forest into agricultural concessions	NA
	A.E.4 Decrease in the share of imports of agricultural products	NA
	* Turnover of small business contributing to tackle agriculture-related root causes of deforestation	There is currently no indicator in the CAFI M&E framework that captures the contribution of the private sector to tackling root causes of deforestation & degradation
2. Sustainable wood energy investments lead to adoption of more sustainable alternatives to current wood energy practices	E.E.3 Effectiveness of national policy on Energy for the sustainable management and substitution to wood energy	NA
	* Turnover of small business contributing to tackle energy-related root causes of deforestation	There is currently no indicator in the CAFI M&E framework that captures the contribution of the private sector to tackling root causes of D&D
3. Sustainable forest governance and investments, and enhanced permitting, monitoring and enforcement capacity	* Decrease in the share of illegal logging on domestic markets	F.E.2 Percentage of legal wood, industrial or artisanal, that is commercialized
	* Decrease in the share of illegal logging on export markets	
	* Decrease in illegal logging in forests under a sustainable management plan	
	* Decrease in illegal logging in forests in type 2	
	* Better implementation of management plan	F.E.1 Hectares of forest under a management plan

	* Increase of the effectiveness of measures taken to fight illegality	F.E.4 National plan elaborated to fight illegality
	F.E.5 Increase in percentage of forests under certification	
	* Turnover of small business contributing to tackle logging-related causes of degradation	
4. Future infrastructure and mining projects minimize their overall footprint	M.E.2 Effectiveness of a policy framework, commercial agreements or norms that limit or compensate forest conversion into mines	
	M.P.1.a Increase in the number of environmental impact studies undertaken before new mining permits are allocated	
	MP1. B Increase in the number of environmental impact studies undertaken before new roads are built	
5. Land use planning decisions ensure a balanced representation of sectoral interests and keep forests standing, and better tenure security does not incentivize conversion by individuals or communities.	Am.E.1 Effectiveness of a policy or law that take into account the contribution of forests to climate change mitigation and other benefits	
	*Decrease in the number occurrence of land allocation conflicts	AM.E.4 Hectares of land where allocation conflicts have been identified
	Am.E.5 Effectiveness of equitable land tenure policy	
6. Demographic growth and migration to forests and forest fronts	*Increase in the awareness of the benefits of health and reproductive rights	P.E.2 Percentage of married women or in a couple that use a modern contraception method
7. Better inter-ministerial coordination and governance resulting in permitting and fiscal regime of economic activities that do not push economic actors to forest conversion and illegal activities.	G.P.5 Decrease in corrupt acts or risks	
	*increasing the political will to fight corruption	G.P.5
	*making sanctions more credible	G.P.5

Strengths, opportunities and risks

Strengths and opportunity

- Quantitative perception-based indicators are a powerful way to build a narrative to estimate CAFI's impact
- CAFI will not depend on programmes to collect outcome data
- CAFI won't depend on national statistics, often incomplete or not regularly updated
- Possible and relatively easy to apply this approach every 4 years to measure the evolution of the perceived change and CAFI's contribution
- Similar approach has been funded by one CAFI donor (EU), hence providing valuable feedback and possible adaptive measures

Weaknesses

- This approach is perception-based, rather than based on physically measurable data. Perceptions, by definition, vary with people, context and time.

Risks and mitigation measures

Risks	Mitigation
The way that questions are formulated can greatly influence the respondent's answers	CAFI would contract a team trained in formulating questions
Perception of a lack of national ownership	In DRC, the process would be piloted by FONAREDD, with a clear role in suggesting experts and a capacity building component on M&E. In Gabon and other countries, the National entity in charge of process would lead the process but without the possibility of influencing the outcomes.
Timing matters: when to ask which question in which sector could radically change perception results	Could be mitigated by starting with sectors where most progress has been observed and with clear criteria (ex: year 4 of effective programme implementation)
Difficulties in identifying experts	Careful identification process with cross cutting process (e.g only enroll expert if recommended by two or more independent actors)
Large variance in expert opinions	Variance meetings to adjust sample size. Possibility to exclude outlier data when selected "experts" do not appear reliable in focus group discussions
Cross influence of survey results	Survey questions are not disseminated in advance, and respondents reply individually on tablets. Focus group discussion can happen per stakeholder groups to avoid intimidation.
Survey fatigue leading to random responses	Short and targeted surveys

Estimated costs

| For the FLEGT-VPA process, cost was estimated at 80,000 per country for 35 indicators.