



Procedures for the review of national investment frameworks
by the Central African Forest Initiative (CAFI)
Adopted at Geneva, on October 26, 2015

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Context of review procedures

- 1) CAFI is designed to respond to country needs and existing national development priorities. In this context, national investment frameworks are intended to capture existing national strategies and plans.
- 2) The assessment process is designed to reflect the specific circumstances of each country while ensuring that national investment frameworks resonate with CAFI goals and theory of change.
- 3) While the main objective of the assessment is to support the development of a high-quality investment framework, the assessment process also provides assurance that CAFI objectives and international standards will be met.
- 4) To support the development of high quality investment frameworks, the review process relies on constructive open dialogue between CAFI and the country.

Consideration of National Investment Frameworks

- 5) A country may choose to present its draft investment framework for informal consideration at an Executive Board meeting, or share the draft investment framework with the Secretariat of CAFI for informal feedback.
- 6) Members and observers of the Executive Board will be invited to provide input and may request clarifications during the Executive Board Meeting when the investment framework is presented and/or provide written comments during the two weeks following the Board meeting or the reception of the investment framework.

- 7) The country presenting the investment framework may address the comments and respond to the questions during the Executive Board meeting or following the reception of written comments.
- 8) When submitting its national investment framework as a basis for approving a funding allocation, a country is encouraged to provide guidance on how the feedback it has received has been incorporated into the final submission.
- 9) The investment framework will undergo independent review as described in paragraphs 14 to 29 below.
- 10) Following receipt of the independent reviews, the Secretariat will liaise with the country to: ensure relevant issues are addressed; discuss responses to comments and recommendations; and to support revision of the investment framework, as necessary.
- 11) When the country is satisfied with the revised investment framework, it will communicate the final version to the Secretariat. The Secretariat will share the revised version and the conclusions of the independent reviews with the CAFI Executive Board.
- 12) The Executive Board members are not bound by the conclusions of the independent reviews. Members may take into consideration the totality of their knowledge, advice and recommendations concerning the investment framework, including (but not limited to) inputs from Executive Board observers, Implementing Organizations, and other CAFI partner countries) before reaching their decision.

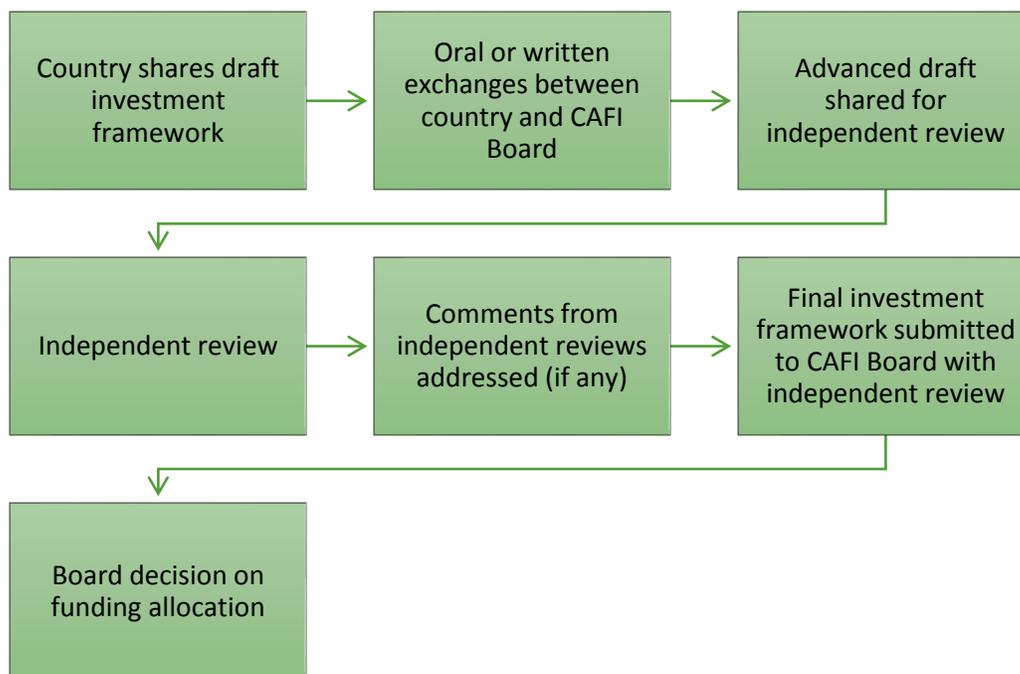


Figure 1: Country - CAFI dialog on national investment frameworks

Independent Reviews

Principles and objectives

- 14) As mentioned in the CAFI TORs the Secretariat of CAFI will commission two separate review reports (double blind process¹) on the proposed National Investment Framework by two independent international experts with proven experience and expertise in the region in the field of climate change mitigation from the land use, land use change and forestry sector.
- 15) The review should:
 - a) Be independent
 - b) Reflect the objectives and investment criteria of CAFI
 - c) Provide knowledge and experience for interested stakeholders, including members and observers of the CAFI Executive Board
- 16) These procedures complement the procedures for the preparation of independent assessments of programs developed to implement national investment frameworks. As a result, the independent review of national investment frameworks is correspondingly less detailed and focused on operational aspects. Rather, these procedures seek to assess whether the investment frameworks as a whole have the potential to meet the objectives of CAFI (emission reductions and development co-benefits).

Process overview

Selection of reviewers

- 17) The reviews should be prepared by at least two independent experts – one for each blind review.
- 18) The Secretariat will develop the terms of references for the reviews in accordance with the process set out herewith.
- 19) Reviewers shall be selected from the following rosters:
 - a) At least initially, members of the Technical Advisory Panel established by the Forest Carbon Partnership Facility (FCPF);
 - b) A roster of experts to be established by the CAFI Secretariat in accordance with UNDP procedures. Members and observers of the CAFI Executive Board, as well as Partner Countries and Implementing Organizations, may propose additional experts to be included on the roster, along with other experts who respond to the Secretariat's call for expression of interest;
 - c) The Secretariat shall make the roster available to the CAFI Executive Board and will advise them on a periodic basis of updates to the roster.
- 20) Reviewers will be appointed in accordance with the recruitment processes of UNDP. In selecting experts, all reasonable efforts shall be made to avoid any actual or perceived conflict of interest².

¹ A process whereby the reviewers are not aware of each other's work and work independently. Their assessments will be consolidated by the CAFI Secretariat.

² A potential conflict of interest exists whenever a reviewer, his or her family, or an associated entity of the reviewer possesses or appears to possess a financial or other interest in the outcome of the investment framework.

Responsibilities of the reviewers

21) The reviewers will be responsible for:

- a) Conducting a review of the first complete draft version of the investment framework in accordance with the criteria listed above and the outlined in Annex 2;
- b) Submitting within the agreed timeframe the review to the Secretariat who prepared the investment framework;
- c) Submitting a final version of the review after the Secretariat's discussions with representatives from the government about the findings of the review, if requested by the government and, if necessary. The purpose of these discussions will be to advance understanding of how the findings of the review may be reflected in the investment framework or the government's response.

22) The independent reviewers will have the following obligations:

- a) to work in his or her personal capacity and perform duties in an objective, neutral and professional manner;
- b) to disclose any potential conflict of interest relating to review activities;
- c) to protect any confidential information provided in the course of the reviews both during and after the term of service; and

23) The independent reviews will be consistent with the Fund ToRs and the guidance set out herewith, as revised from time to time by the Secretariat. The criteria for the independent reviews (Annex 2) will be made available to the Executive Board whenever revisions are made.

Responsibilities of country governments

24) After receiving the review, countries may update the document and shall prepare a note explaining how the recommendations have been taken into account. In addition, they can request a virtual meeting with the Secretariat.

25) The country will finalize the investment framework, taking into consideration the findings and recommendations from the review.

26) The review and the country's note responding to the review should be submitted to the Secretariat together with the investment framework when it is submitted for endorsement. The Secretariat will include the submission on the next available meeting of the CAFI Executive Board.

27) In the event that the review is considered to be unsatisfactory by the country after the dialogue described in paragraph 10, and the grounds for the country's concern are considered legitimate by the Secretariat, an additional independent review may be requested, subject to approval by the CAFI Executive Board. To this end:

- a) The country government will inform the Secretariat why they consider the product of the reviewer(s) to be unsatisfactory and provide a justification for an additional independent review to be carried out;
- b) The Secretariat will consider the basis of the country's request, including where appropriate, clarifications from the reviewer(s).

- c) the Secretariat will inform the CAFI Executive Board and will add the request for a second review to the agenda of the next available meeting of the Board, along with the Secretariat's recommendation;
- d) The Board will consider the reasons for the request for an additional review and, if agreed, approve it. The additional review will be carried out by an alternative expert subject to the same process described in the section above "selection of reviewers"; and
- e) The review considered to be unsatisfactory will be made available to the CAFI Executive Board along with the additional review when considering the proposed investment framework for endorsement.

Role of the Secretariat

28) The Secretariat will be responsible for the administrative arrangements described in this paper, including the selecting and contracting of the reviewers. This includes, among other things:

- a) Making available the procedures of the eligibility assessments;
- b) making available the most up-to-date rosters of experts mentioned in paragraph 5 above;
- c) selecting the proposed reviewers;
- d) contracting the expert reviewers
- e) preparing the reviews for consideration by the CAFI Executive Board
- f) discussing the reviews with country representatives
- g) preparing an overview of the reviews for consideration by the Executive Board if requested by it
- h) performing other administrative tasks related to the reviews.

Review of Expert Review Procedures

29) From time to time, the Executive Board may consider the effectiveness of the review procedures, instruct the Secretariat to provide reviews of the independent assessments submitted and revise the procedures, if necessary.

Annex 1: Criteria for undertaking the assessment

In undertaking the review of the a CAFI Country Investment Framework, expert reviewers should assess whether the investment framework is consistent with CAFI objectives, principles and investment criteria agreed in the following policy documents and operational guidelines:

- 1) CAFI Terms of Reference including the CAFI Results Framework
- 2) CAFI Monitoring and Evaluation Framework
- 3) Any further decision the Executive Board might take or document it might adopt to guide the independent eligibility assessment process.

Annex 2: Guidance for the independent reviews

Title of CAFI National Investment Framework	
Country	
Name of reviewer(s)	
Date of submission	
Part I – general considerations based on the documentation submitted by the country (max 3 page)	
<p>General strategic considerations and government priorities</p> <ul style="list-style-type: none"> • <i>Are the relevant national objectives clear (for example, is the National Investment Framework consistent with a National REDD+ Strategy, Climate Strategy, LED Strategy, or other equivalent national policy, plan or strategy?)</i> • <i>Is the Investment Framework consistent with relevant national development plans?</i> • <i>Does the Investment framework identify any major potential synergies or inconsistencies with relevant sector strategies (i.e. forest, agriculture, transport, or other relevant sectors)</i> • <i>Has available information on relevant donor funded initiatives contributing to the same objectives been incorporated in the National Investment Framework?</i> 	
<p>Situation analysis and response measures</p> <p>Does the Investment framework include:</p> <ul style="list-style-type: none"> • <i>Robust analysis ensuring identification and, to the extent possible, quantification of the drivers³ in a spatially explicit manner</i> • <i>Analysis of the underlying causes of drivers in the context of the factors affecting land use change</i> • <i>Explanation of the direct drivers targeted (if not all) and why some direct drivers are not being addressed.</i> • <i>Identification and prioritization of response measures that address the direct and indirect drivers</i> 	

³ “Drivers” refers to the drivers of deforestation and forest degradation as well as the barriers to conserving, sustainably managing and enhancing forest carbon stocks

<ul style="list-style-type: none"> • <i>Identification and, where possible, quantification of co-benefits resulting from response measures;</i> • <i>Presentation of past successes and failures in implementing policies or measures for addressing drivers; gaps, challenges, and opportunities</i> 	
<p>Do the results framework and outcome indicators include:</p> <ul style="list-style-type: none"> • <i>Respond to CAFI's theory of change (impact, outcome and indicative outputs)</i> • <i>Identify measurable and attributable indicators (including baselines, targets and methodological explanation) for each outcome based on proposed CAFI outcome indicators (or others if suitable)</i> 	
<p>Does the Budget:</p> <ul style="list-style-type: none"> • <i>Provide an estimate of annual and outcome level budget requirements</i> <p><i>ADDED VALUE</i></p> <ul style="list-style-type: none"> • <i>identify any necessary additional sources of funding (such as other donor funding or state budget)</i> 	
<p>Geographic scale (if subnational implementation)</p> <ul style="list-style-type: none"> • <i>Are targeted geographical areas at high risk of deforestation and in line with priority drivers?</i> • <i>Are additional criteria presented to justify choice of region (agreed by stakeholders)</i> • <i>Is there an explanation of how the risk of domestic leakage will be addressed (can be part of risk management strategy)</i> 	
<p>Managing risks</p> <ul style="list-style-type: none"> • <i>Does the investment framework address potential risks related to the programs, financial management, institutional context or other relevant issues?</i> • <i>Does the investment framework propose measures to address the risks?</i> • <i>Is there a reference to the risk management measures of the implementing partners?</i> 	
<p>Do the Governance framework and implementation arrangements provide:</p> <ul style="list-style-type: none"> • <i>If several implementation agencies, does the investment framework clarify roles (of both</i> 	

<p><i>international and national, governmental and non-governmental stakeholders)</i></p> <ul style="list-style-type: none"> • <i>Does the investment framework clearly describe the governance set-up for its implementation, including arrangements for inter-sectoral coordination</i> • <i>Does the investment framework explain how socio-environmental risks will be addressed in the development and implementation of the programs proposed in the investment framework⁴</i> • <i>Does the investment framework show how women’s role in deforestation and forest degradation and as agents of change is analyzed or how this is expected to be analyzed and integrated into relevant programs proposed in the investment framework.</i> • <i>Does the investment framework demonstrate multi-stakeholder engagement in the development and future implementation of the national investment framework?⁵</i> 	
<p>Annexes</p> <ul style="list-style-type: none"> • <i>List of proposed programs (no verification of programs at this stage only their consistency with results framework of the Investment Framework i.e. each output/program falls into an outcome identified in the results framework)</i> 	
<p>Part II – recommendation (max 1 page) <i>Please provide recommendations to the CAFI Executive Board as well justification for the recommendation:</i></p> <ol style="list-style-type: none"> 1) <i>Recommend the Investment Framework be accepted without further adjustments funding the total proposed amount or only partially</i> 2) <i>Recommend the Investment Framework be accepted with proposed adjustments full funding or partial (to be verified when</i> 	

⁴ If countries seek results based payments for REDD+ under the procedure described in various decisions of the Conference of the Parties of the UNFCCC, then the Cancun safeguards will apply. For other countries, other appropriate equivalent processes can be proposed.

⁵ This can be demonstrated through, **for example**, the inclusion of (i) summary of the consultation and participation process for Investment Framework development process (ii) a recommendation for the Consultation / Participation Plans for the programmes contained in the investment framework (iii) concerns and recommendations of relevant stakeholders; and a process for their consideration, and/or expressions of their support for Investment Framework; (iv) and mechanisms for addressing grievances regarding consultation and participation in the process, and for conflict resolution; (v) any other relevant process or information.

<p><i>programs are submitted in stage 2) funding the total proposed amount or only partially</i></p> <p>3) <i>Recommend acceptance of the Investment Framework be conditional based on adjustments (to be resubmitted for consideration) funding the total proposed amount or only partially</i></p> <p>4) <i>Do not recommend acceptance of the Investment Framework</i></p>	
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