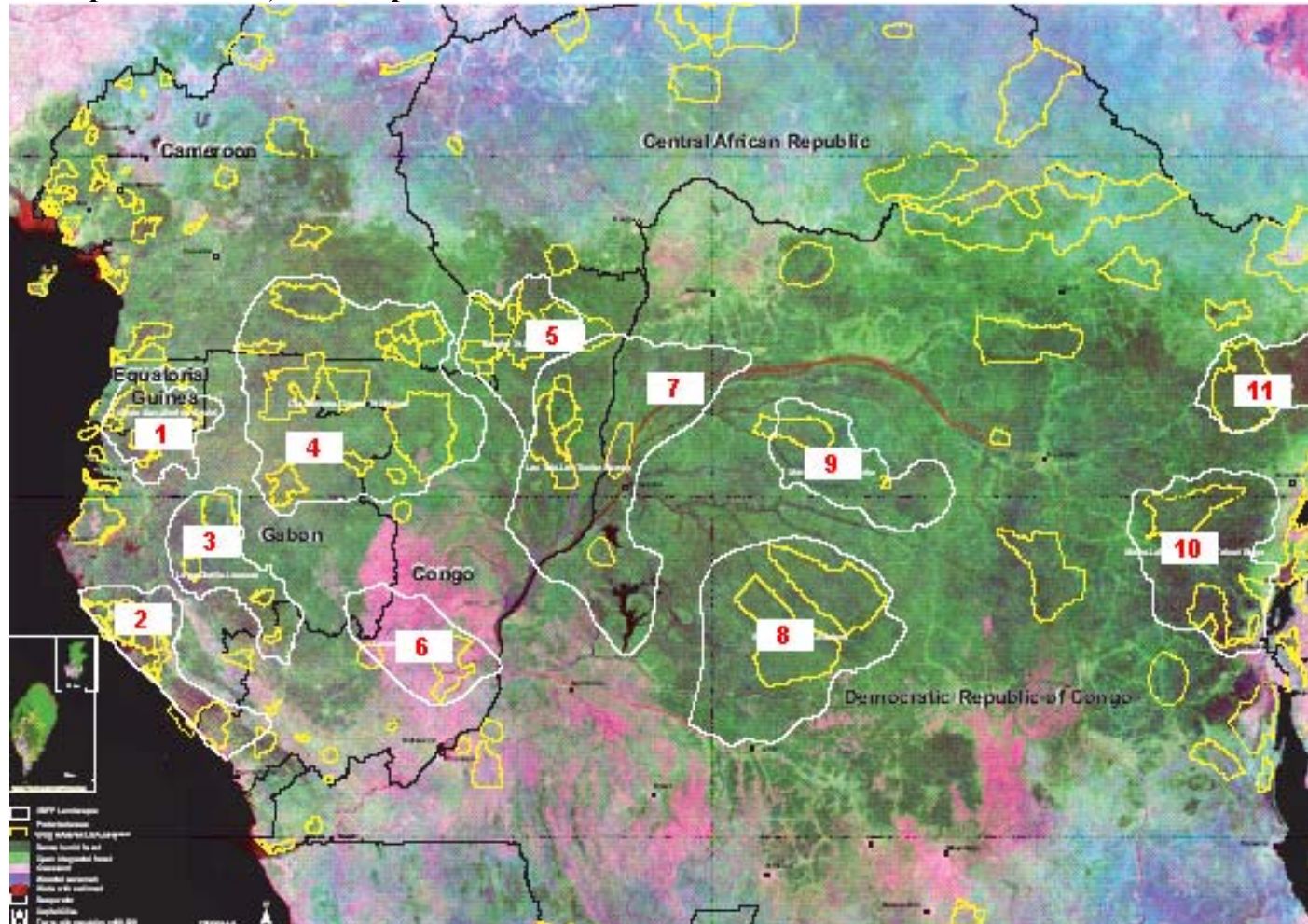


Annexes

Annex A. Carpe II Partners, Landscapes and Activities



Carpe Landscapes

1. Monte Alen - Mont de Cristal Forest
2. Gamba-Conkouati Forest
3. Lope-Chaillu-Louesse Forest
4. Dja-Minkebe-Odzala Tri-national Forest
5. Sanha Tri-national Forest
6. Leconi-Bateke-Lefini Forest
7. Lac Tele-Lac Tumba Swamp Forest
8. Salonga-Lukenie-Sankuru Forest
9. Maringa-Lopori-Wamba Forest
10. Maiko-Lutunguru Tayna-Kahuzi Biega Forest
11. Ituri-Epulu-Aru Forest
12. Virunga

• . BUDGET BY LANDSCAPE

Ref No.	No. of Segments, leader per segment	Landscapes, Segments, and Sub-Region Partners		Size (ha) and Segment Leaders Receiving Funding	Countries involved & NGOs funded by Seg Leaders	Year 2	Year 3	Total	Landscape Total
1)	2 Segments	Monte Alen - Mont de Cristal Forest LS		2,671,000	Gabon, Eq Guinea				
	Seg 1: CI	EG	Monte Alen NP, Altos de Nsok NP	CI	CI	751,536	271,754	1,723,786	
	Seg 2: WCS	Gabon	Monte de Cristal	WCS	WCS	404,091	223,618	978,614	
	Seg 2: WCS	Gabon	Monte de Cristal	WCS	WWF	95,909	96,467	311,471	3,013,871
2)	2 Segments	Gamba - Konkouati Forest Landscape		3,439,000	Gabon, ROC				
	Seg 1: WWF	Gabon	Gabon - Gamba Conkoati	WWF	CI - special theme	0	0	31,768	
	Seg 1: WWF	Gabon	Gabon - Gamba Conkoati	WWF	WWF	567,180	671,382	1,739,826	
	Seg 1: WWF	Gabon	Gabon - Mayumba & Iguela sector subregion	WWF	WCS	432,820	472,630	1,272,419	
	Seg 2: WCS	ROC	ROC - Conkoati-Douli NP	WCS	WCS	400,081	441,676	1,116,566	4,160,579
3)	1 Segment	Lope - Chaillu - Louesse Forest Landscape		3,494,000	Gabon, ROC				
	LL: WCS		All	WCS	WCS	600,000	590,885	1,735,885	1,735,885
4)	2 Segments	Dja-Minkebe-Odzala Tri-national Forest LS		14,160,000	Cameroon, Gabon, ROC				
	Seg 1: WWF	Gabon	Gabon - Minkebe	WWF	WWF	998,000	473,343	2,399,702	
	Seg 1: WWF	Gabon	Gabon - Iwido sector subregion	WWF	WCS	252,000	245,687	652,328	
	Seg 2: WCS	ROC	ROC - Odzala	WCS	WWF	204,944	131,426	535,743	
	Seg 2: WCS	ROC	ROC - Odzala	WCS	WCS	295,056	248,217	773,825	
		701	Cameroon - Dja	WWF	WWF		304,057	304,057	4,665,655
5)	2 Segments	Sangha Tri-national Forest Landscape		3,637,000	Cameroon, CAR, ROC				
	Seg 1: WWF	CAM	CAR - Sangha	WWF	WWF	650,000	225,696	1,375,696	
	Seg 1: WWF	ROC	Cameroon -Lobeke	WWF	WWF		249,445	249,445	
	Seg 2: WCS	901	ROC - Ndoki	WCS	WCS	700,474	879,725	2,280,698	3,905,839
6)	1 Segment	Leconi - Bateke - Lefini Forest Landscape		3,532,000	Gabon, ROC				
	LL: WCS	1001	All	WCS	WCS	350,000	413,502	1,106,501	1,106,501
7)	2 Segments	Lac Tele - Lac Tumba Swamp Forest Landscape		12,681,000	ROC, DRC				
	Seg 1: WCS	DRC	ROC - Lac Tele	WCS	WCS	350,144	283,675	933,840	
	Seg 2: WWF	1101	DRC - Lac Tumba	WWF	WWF	650,000	622,813	1,872,814	2,806,654
8)	1 Segment	Salonga - Lukenie - Sankuru Forest Landscape		10,223,000	DRC				
	LL: WWF	DRC	Salonga NP	WWF	WWF	518,800	339,276	1,350,933	
	LL: WWF	DRC	Salonga Lukenie Sankuru	WWF	WCS	331,000	309,739	888,739	2,239,672
9)	1 Segment	Maringa - Lopori - Wamba Forest Landscape		4,223,000	DRC				
	LL: AWF	DRC	Maringa Lopori Wamba (shared area)	AWF	CI	179,976	50,000	380,300	
	LL: AWF	DRC	Maringa Lopori Wamba (shared area)	AWF	AWF	720,024	720,167	2,289,867	2,670,167
10)	1 Segment	Maiko - Lutunguru Tayna - Kahuzi Biega Forest Landscape		3,135,000	DRC				
	LL: CI	DRC	Maiko Tayna NP	CI	CI	997,880	1,106,899	2,804,449	
	LL: CI	DRC	Kahuzi Biega NP	CI	WWF	300,000	338,970	938,970	
	LL: CI	DRC	Kahuzi Biega NP	CI	WCS	360,000	349,341	808,341	4,551,760
11)	1 Segment	Ituri - Epulu - Aru Forest Landscape		6,840,000	DRC				
	LL: WCS	DRC	Ituri Epulu Aru	WCS	WCS	399,738	436,479	1,320,404	1,320,404
12)	1 Segment	Virungas			DRC, Rwanda				
	LL:AWF	RW	DRC/Rwanda - Virunga	AWF	AWF	500,000	211,376	1,211,376	1,211,376

6. CARPE BUDGET BY PARTNER

NGO	Year 1 (operating in FY04)		Year 2 (operating in FY05)		Year 3 (operating in FY06)		TOTAL	
	USAID	Match Funds	USAID	Match Funds	USAID	Match Funds	USAID	Match Funds
African Wildlife Foundation	\$1,349,676	\$286,189	\$1,220,024	\$493,698	\$1,220,167	\$0	\$3,789,867	\$779,887
Conservation International	\$1,582,258	\$892,504	\$1,929,392	\$1,108,213	\$1,984,454	\$1,146,271	\$5,496,104	\$3,146,988
Wildlife Conservation Society	\$4,338,209	\$4,806,330	\$4,875,404	\$5,134,523	\$5,033,689	\$5,959,147	\$14,247,302	\$15,900,000
World Wildlife Fund	\$4,140,950	\$3,220,107	\$4,582,587	\$2,841,331	\$4,910,291	\$3,506,772	\$13,757,226	\$9,568,210
World Resources Institute	\$750,000	\$313,392	\$850,000	\$260,804	\$900,000	\$260,804	\$2,500,000	\$835,000
World Conservation Union (IUCN)		\$75,000		\$175,000		\$75,000		\$325,000
Smithsonian Institute		\$250,000		\$200,000		\$200,000		\$650,000
US Fish & Wildlife Service		\$100,000		\$0		\$0		\$100,000
US Forest Service		\$250,000		\$237,000		\$250,000		\$737,000
NPSA		\$750,000		\$500,000		\$650,000		\$1,900,000
US National Park Service		\$0		\$50,000		\$50,000		\$100,000
US Peace Corps		\$50,000		\$0		\$0		\$50,000
						TOTAL USAID	\$43,652,499	
						TOTAL MATCH	\$30,230,085	
						GRAND TOTAL	\$73,882,584	

Figures in italics Signifies Budget estimates. These partners have one-year agreements, and their future funding levels are negotiable.

Signifies our NGO Landscape Partners. Each NGO has a three-year agreement stipulating the level of USAID and Match funding. Year 3 Match Funding levels are the most conservative estimates, and funding will probably be greater than this amount.

Signifies CARPE NGO Crosscutting Technical Service Partners. Each NGO also has a three year agreement.

Signifies CARPE Federal Agency Partners. These partners also act as cross-cutter technical service providers, and have a series of one-year agreements. FY06 funding levels are not yet finalized, awaiting budget allocation from AFR.

7. ILLUSTRATIVE TABLE OF LEVERAGED FUNDS

Recipient	Total Amount	Time period	Source	Location
AWARDED FROM INTERNATIONAL AND MULTILATERAL SOURCES				
DRC Ministry of Environment	\$3,000,000	3 years	World Bank Loan	DRC
WWF	\$700,000	7 years	UNDP Global Environment Fund	Congo River System
ICCN	\$3,000,000	6 years	UNDP Global Environment Fund	DRC
WWF/WCS	\$10,728,788	6 years	French Global Environment Fund	Trinational (Cameroon, CAR, ROC)
Regional Governments	\$29,120,996	5 years	EU	Trinational (Cameroon, CAR, ROC)
WWF/WCS	\$3,831,710	1 year	German Development Bank	Trinational (Cameroon, CAR, ROC)
WWF	\$10,117,500	7 years	UNDP Global Environment Fund	Tri-DOM (Gabon, Cameroon, ROC)
WCS	\$1,915,855	3 years	French Global Environment Fund	Trinational (Cameroon, CAR, ROC)
				Tri-DOM (Gabon, Cameroon, ROC)
				Gamba (Gabon)
WWF	\$300,000	4 years	UNESCO French Global Environment Fund	Tri-DOM (Gabon, Cameroon, ROC)
WWF	\$1,619,545	4 years	French Global Environment Fund	Trinational (Cameroon, CAR, ROC)
				Tri-DOM (Gabon, Cameroon, ROC)
				Gamba (Gabon)
WWF	\$623,036	2 years	EU	Salonga (DRC)
WWF	\$1,020,001	2 years	EU	Virunga (DRC, Rwanda)
WWF	\$697,680	2 years	UNDP Global Environment Fund	Congo Basin
TOTAL AWARDED, PUBLIC =	\$66,675,111			
AWARDED FROM PRIVATE SECTOR SOURCES				
WCS	\$250,000	1 year	CIB Forestry Concession	Trinational (Cameroon, CAR, ROC)
WCS	\$75,000	1 year	Rougier Forestry Concession	Trinational (Cameroon, CAR, ROC)
Gabon Ministry of Forestry	\$100,000	donation	ESRI Software (USA)	Gabon
WWF	\$250,000	3 years	Shell Gabon	Gabon
CARE	\$100,000	donation	Motorola	Maringa Lopori Wamba (DRC)
TOTAL AWARDED, PRIVATE =	\$775,000			
UNDER DEVELOPMENT				
WWF	\$50,000,000	<i>unknown</i>	Global Environment Facility	Congo Basin
WWF	\$20,000,000	<i>7 years</i>	UNDP Global Environment Facility	Congo Basin
Woodshole Research Center	\$100,000	<i>unknown</i>	NASA	Albertine Rift (DRC, Rwanda, and others)
WWF (<i>proposed</i>)	\$12,000,000	<i>5 years</i>	WB Global Environment Facility	Gabon
TOTAL UNDER DEVELOPMENT =	\$82,100,000			
Total Leveraged Funds currently Awarded =				\$67,450,111
Total Anticipated Leveraged Funds =				\$82,100,000
Total Funds Leveraged by CARPE, Anticipated and Confirmed =				\$149,550,111

LANDSCAPE SEGMENTS AND LEADERS REFERENCE SHEET

Landscape, segment, partner, and country		Name	Email	Telephone	Address
Monte Alen Mont de Cristal					
CI	Eq G, Monte Alen	Christopher Kernan	ckernan@conservation.org	+240203138; +2024316828	INDEFOR, Bata, Eg 1919 m street NW. Washington DC, 20036
WCS	GN, Monte de Cristal	Pauwel de Wachter	Pauwel_dewachter@hotmail.com	+241840034	WWF. BP 9144, Libreville
WWF	GN, Monte de Cristal				
Gamba Conkoati					
WWF	GN, Gamba Conkoati	Bas Huijbregts	Huijbregts_bas@hotmail.com	+241840020	WWF-Gabon. P.O.BOX 9144
WCS	GN, Mayumba & Iguela	Hilde Vanleeuwe	conkouati@uuplus.com ; hvanleeuwe@wcs.org		Libreville
WCS	ROC, Conkoati-Douli				
Lope					
WCS	Gabon/ROC				
TRIDOM					
WWF	GN, Minkebe	Pauwel de Wachter	Pauwel_dewachter@hotmail.com	+241840034	WWF. BP 9144, Libreville
WCS	GN, Ivindo	Pauwel de Wachter	Pauwel_dewachter@hotmail.com	+241840034	WWF. BP 9144, Libreville
WWF	ROC, Odzala				
WCS	CAM, Dja	Leonard Usongo	lusongo@wwfcarpo.org	+2372216267	WWF CARPO
TNS					
WWF	CAR, Sangha	Leonard Usongo	lusongo@wwfcarpo.org	+2372216267	
WWF	CAM, Lobeke	Emma Stokes	estokes@wcs.org		
WCS	ROC, Sangha				
Leconi Bateke					
WCS	ROC	Norbert Gami	ngami@wcs.org		
Lac Tele Lac Tumba					
WCS	ROC, Lac Tele	Hugo Rainey	hrainey@wcs.org ; wclsactele@uuplus.com	+24381650176 6	WWF-DRC
WWF	DRC, Lac Tumba	Inogwabini	bin@kinpost.com		
Salonga					
WWF	DRC, Salonga NP	Lisa Steel	lisasteel@gis.net	9896151	WWF-DRC
WCS	DRC, Salonga	Lukenie Sankuru			
Maringa Lopori Wamba					
CI	DRC, MLW	Karl Morrison	kmorrison@conservation.org	97701071	Goma
AWF	DRC, MLW				
Maiko Tayna Kahuzi Biega					
CI	DRC, Maiko Tayna NP	Karl Morrison	kmorrison@conservation.org	97701071	Goma
WWF	DRC, Kahuzi Biega NP				
WCS	DRC, Kahuzi Biega NP				
Ituri Epulu Aru					
WCS	DRC, Ituri Epulu Aru				
Virungas					
AWF	DRC/Rwanda - Virunga				

Annex B. 2002 CARPE II Strategic Plan (partial):

A. Selection of Strategic Objective

CARPE will operate under a stand-alone, regional Strategic Objective in the environment sector of the USAID Africa Bureau, managed from USAID-Democratic Republic of Congo. In support of the broad goals and interests of the U.S. Government, USAID, and the Africa Bureau, CARPE's Strategic Objective will contribute to economic development and the alleviation of poverty throughout Central Africa. This will benefit not only the people and countries of the region, but also U.S. citizens and the global community as well. It will do so by helping to conserve the forests and other biological resources that are essential for economic development in the region. It will also contribute to slowing global climate change and conserving the species and genetic resources of the Congo Basin.

The clearance and degradation of forests in Central Africa leads to a concomitant loss of biological diversity – species, genetic resources, and ecological processes and services. All of these biotic resources can contribute to the sustainable development of the region. The forests and biodiversity of Central Africa are threatened by human factors, choices, practices, decisions, and behaviors – and these threats can only be addressed by improvements in local, national, and regional capacity to manage these resources sustainably, for broad-based benefits to the societies of the region.

Goal: Sustainable natural resource management practiced throughout Central Africa in order to promote sustainable economic development and alleviate poverty for the benefit of people of the region and the global community.

The Strategic Objective of CARPE is to reduce the rate of forest degradation and loss of biodiversity through increased local, national, and regional natural resource management capacity.

Intermediate Results to be achieved in order to reach this objective will involve implementing sustainable forest and biodiversity management practices, strengthening environmental governance, and monitoring forests and other natural resources throughout the region.

The implementation of more sustainable practices will contribute directly to long-term, broad-based development. The improvements in environmental governance that CARPE will foster will contribute to more general improvements in democratic governance, transparency, accountability, social stability, and reduction in violent conflict in the region as a whole. Monitoring will enable the program to be flexible and manage its activities adaptively in this dynamic region, as well as to demonstrate results on the ground.

B. Planning Process

- An independent evaluation of CARPE's first six years was conducted by the Environment and Development Group in 2001 and the results published in February, 2002 (Environment and Development Group, 2002). The findings of this evaluation, which are included as Annex 6, have informed the process of planning for this new SO.

USAID has consulted widely with a variety of partners in development of the new SO, including with members of the expanded CARPE Strategic Objective Team (CARPESOT), consisting of representatives of all CARPE partner organizations. USAID held several meetings with partners to solicit their individual views in late 2001, the second of which, on October 24, 2001, was facilitated by Price-Waterhouse-Coopers. As a result of these meetings, USAID developed a draft Results Framework, illustrative activities, indicators,

and targets, which were distributed to the CARPESOT prior to a meeting on December 14, 2001. They were discussed at this meeting, but the draft Results Framework was not revised.

Subsequent to the December, 2001 meeting, additional revisions were made to the draft Results Framework as a result of the September 2002 U.S. Government announcement of the Congo Basin Forest Partnership at the World Summit on Sustainable Development in Johannesburg, South Africa. The Results Framework of this Strategic Plan provides an umbrella for many of the activities the U.S. will undertake in support of its contribution to the Congo Basin Forest Partnership. CARPE and the CBFP overlap in substantial ways, but each program proposes some activities that are unique to it. Furthermore, in some cases some activities may be a focus for one of these initiatives but not both.

C. Critical Assumptions and Vulnerabilities

CARPE will operate in a regional context in which factors internal to the region and factors from outside it will influence USAID's ability to achieve the goal, strategic objective, and intermediate results described in this strategic plan. In order to adaptively manage CARPE, several of these key factors will need to be tracked. They include:

- the stability of Central African governments;
- the global timber trade;
- international agreements regarding payments to forest-rich countries for forest conservation related to the Climate Change Convention; and
- population dynamics in Central Africa.

As discussed above in the section on "Conflict Vulnerability," many of the governments in Central Africa have been wracked by civil war and other kinds of violent conflicts over the last several decades. They are in many cases unstable and predisposed to further violent conflict. Over the last seven years CARPE has shown that it can operate in a conflict-prone environment, so the main issue for CARPE in its next phase is to build in mechanisms that can allow it to continue to be resilient and effective despite occasional conflict, and to monitor the stability of the governments in the countries in which it works.

International trade in timber is dynamic and changing. One key issue is the degree to which worldwide timber production is shifting from natural forests to plantations. Another issue is the development of certification mechanisms to link producers and consumers in a system of sustainable forestry. These issues should be followed as CARPE moves forward in its new, regional implementation phase.

Developments in the Convention on Climate Change, in particular the market mechanisms and incentives for forest conservation that may eventually be developed based on the Kyoto Protocol, are a part of the context for CARPE, and should be tracked as the program moves ahead.

Finally, population dynamics in Central Africa -- including population growth rates, rural-urban migration patterns, and large-scale migrations or refugee flows -- is an issue that could influence whether or not this CARPE strategic plan can succeed. Population dynamics should therefore be monitored in a general way throughout the project.

Critical assumptions are that, in general:

- Violent conflict will be controlled and prevented;
- Governments in the region will become more democratic and transparent; and
- Corruption will be controlled and reduced.

D. Time Frame

Obligations will be made for this SO over eight years, corresponding to fiscal years 2003 through 2010. The SO Completion Date (the date by which all activities under the SO shall be completed) is September 30, 2011. This time frame is purposefully set fairly far into the future to allow for intensive implementation and the firm establishment of enhanced regional capacity to reduce deforestation and conserve biodiversity. Following the completion of phase II of CARPE in 2010, it is anticipated that the 20 year program will be completed through a final, four year period of “handing over,” when CARPE activities and programs will be turned over to Central African institutions.....

E. Results Framework

A. Goal: Sustainable natural resource management practiced throughout Central Africa in order to promote economic development and alleviate poverty for the benefit of people of the region and the global community

B. Strategic Objective: The Strategic Objective of CARPE is to reduce the rate of forest degradation and loss of biodiversity through increased local, national, and regional natural resource management capacity

Annex C. List of Individuals Consulted

Name	Institutio	Position
Adjacent, Rene Hillarie	Secrétaire Permanent du Conseil National, République Gabonaise - Présidence de la République Gabón	Secrétaire Général Adjoint de la Présidence de la République
Awash, George	Innovative Resources Management DRC	Community based NRM Supervisor
Allegro, Hewed Dung		Conservator
Alonso, Alfonso	Smithsonian Institution USA	Director for Conservation and Development
Hayward, Kelly Keenan	Wildlife Conservation Society USA	Federal Affairs
Balongelwa, Cosma Wilungula	Institut Congolaise pour la Conservation de la Nature (ICCN) DRC	Administrateur Délégué Général
Bekker, Robbert	UNOPS Projet ZAI/97/G31 Rehabilitation des Aires Protegees en RDC, Institut Congolaise pour la Conservation de la Nature DRC	Conseiller Technique Principal
Besacier, Christophe	Ambassade de France Gabon	Conseiller Régional Forêt Environnement Afrique Centrale
Bila-Isaia, Inogwabini	World Wildlife Fund DRC	Program Manager, Lac Toumba LS Segment
Biyogo, A. Paola Mekui		GIS Manager/Minkebe
Blom, Allard	World Wildlife Fund	
Bonilla, Juan Carlos	Conservation International USA	Senior Director, Central Africa
M. Botoliko	Localite Epulu DRC	Chef de localité, Epulu
Carr-Dirick, Brigitte	World Wildlife Fund, Central Africa Programme Office (CARPO), Gabon	Senior Conservation Finance Advisor
Carroll, Richard W.	World Wildlife Fund Endangered Species Program, Africa Ecoregions	Director, Africa Ecoregions Endangered Spaces Program
Cassetta, Matthew V.	Ambassade des Etats-Unis D'Amerique Gabon	Attaché Régional pour l'Environnement

Chambrier, Alexandre Barro	Ministere de L'Economie Forestiere, des Eaux, de la Peche, de l'Environnement, Charge de la Protection de la Nature, Gabon	Ministre Délégué
Chaveas, Mike	USDA Forest Service International Programs USA	Africa Program Specialist
Curran, Bryan	Wildlife Conservation Society Gabon	Directeur des Projets
D'Alessandro, Rudy	National Park Service	International Cooperation Specialist
Davies, Diane	University of Maryland – NASA USA	Co.-Investigator
De Wachter, Pauwel	World Wildlife Fund Gabon	CTP Minkebe
Denelle, Frank R. Gabon	Shell Gabon	Président Directeur Général
Deutsch, James C.	Wildlife Conservation Society, USA	Director, Africa Program
Devers, Didier	University of Maryland Department of Geography DRC	Faculty Research Assistant
Driano, Susan	Department of State USA	AF/EPS
Driscoll, Nicole	Weidemann Associates, Inc. USA	Associate
Dupain, Jef	African Wildlife Foundation DRC	Landscape Coordinator, Maringa-Lapori-Wamba LS
Elkan, Paul	Wildlife Conservation Society ROC	Directeur Général & Représentant
Emmanuel, MVE Mebia		Antropologue
Eyebe, Antoine Justin	WWF/CARPE Cameroon	Focal Point
Fawcett, Katie	Dian Fossey Gorilla Fund International Rwanda	Director of Karisoke Research Center
Flynn, John B.	USAID/Kinshasa DRC	CARPE CTO

Foden, Lynn M.	African Wildlife Foundation USA	Program Technical Director
Gambino, Tony	USA	
Garcia, Michael	U.S. Embassy Gabon	Economic Officer
Genge, Cleto Ndikuma	IUCN- CEFDHAC Cameroon	
Grammaticas, Dominic	Governors' Camp Kenya	Financial Controller
Gray, Marke	International Gorilla Conservation Program Rwanda	Regional Monitoring Officer
Gustave, Mabaza		Anthropologue
Hall, Jefferson S.	Wildlife Conservation Society USA	Assistant Director Africa Program
Hart, John	Wildlife Conservation Society DRC	Senior Conservationist Africa/DRC Program
Hellyer, Robert	USAID/DRC	Mission Director
Henson, Adam	African Wildlife Foundation USA	Program Manager
Hujibregts, Bas	World Wildlife Fund Gabon	
Justice, Chris	University of Maryland USA	Professor
Kanene, Moses	African Wildlife Foundation Kenya	Program Manager
Karera, Timothy	USAID/RWANDA Rwanada	Rural Development Specialist
Kisuki Mathe, Benoit K.	Institut Congolaise pour la Conservation de la Nature DRC	Administrateur Directeur Technique
Kiyiapi, James L.	African Wildlife Foundation Kenya	Director
Languy, Marc	World Wildlife Fund Kenya	Albertine Rift Ecoregion Coordinator

Laye, Pierre	Ambassade de France DRC	Attaché de Coopération
Letelier, Veronica	Weidemann Associates, Inc. USA	Managing Associate
Lilly, Alecia A.	Dian Fossey Gorilla Fund International Rwanda	Director Conservation Action Program
Lumbuenamo, Raymond	World Wildlife Fund DRC	Directeur National
Makana, Jean Rene	Wildlife Conservation Society	Landscape leader
Dr. Patrick Mehlman	VP of DFGFI	
Methot, Pierre	World Resources Institute USA	Senior Fellow, Global Forest Watch
Minnemeyer, Susan	World Resources Institute USA	GIS Manager, Global Forest Watch
Mwine, Mark David	International Gorilla Conservation Programme Rwanda	Regional Enterprise Officer
Ndoutoume, Omer Ntougou	Conseil National des Parcs Nationaux (CNPN) Gabon	Chargé de missions du Président de la République auprès du Secrétaire Permanent du Conseil National des Parcs Nationaux
Ngoga, Telesphore	Office Rwandais du Tourisme et des Parcs Nationaux (ORTPN), Rwanda	Chargé de la Conservation à base Communautaire
Niyibizi, Bonaventure	USAID/RWANDA Rwandan	Senior Advisor
Ntoutoume, Jules		Assistant PNMC
Nutter, Felicia B.	Morris Animal Foundation Rwanda	Field Veterinarian
O'Donnell, Karen	USAID AFR/EA USA	Country Development Officer
M. Ohole		Ingénieur
Orbell, Nkel		Directeur Projet Ivindo
Overman, Han		Directeur du Projets PN Mts Cristal-WCS

Plumptre, Andrew	Wildlife Conservation Society Uganda	Director Albertine Rift Programme
M. Ramazani	Localite Epulu DRC	Chef du Centre, Epulu
Ribot, Jesse	World Resources Institute USA	Senior Associate, Institutions and Governance
Robinson, Doreen L.	USAID EGAT/NRM USA	Biodiversity & Natural Resources Specialist
Rousseau, Alain	SNV Netherlands Development Organization DRC	Représentant en RDC/Coordinateur Kinshasa
Ruggiero, Richard	Fish & Wildlife Services USA	
Ruzigandekwe, Fidèle	Office Rwandais du Tourisme et des Parcs Nationaux (ORTPN), Rwanda	RWA/Executive Director
M. Sabiti	Localite Epulu DRC	Chef de localite Epulu
Saracco, Filippo	UNION EUROPEENE DRC	Expert Régional Forêt Environnement Agriculture
Schoorl, Jaap	GTZ (Cooperation Technique Allemande) DRC	Coordonnateur Programme de la Biodiversité et des Forêts
Songolo, Djomo Ngumbi Banuna	Republique Democratique du Congo DRC	Assistant ADG
Sostheme, Ndong Obiang Louis		Conservateur Minkebe Est
Steele, Lisa	World Wildlife Fund DRC	Landscape Leader, Salonga Landscape
Tchamou, Nicodeme	USAID/CARPE DRC	Regional Coordinator
Toham, Andre Kamdem	World Wildlife Fund DRC	Senior Ecoregional Conservation Coordinator & CBFP Technical Manager
Topa, Giuseppe	World Bank USA	
Tshombe, Richard	Wildlife Conservation Society DRC	Country Director
Veit, Peter	World Resources Institute USA	Senior Associate, Regional Director for Africa
Washburn, Ryan	USAID/RWANDA Rwanda	Team Leader, Agriculture and Rural Enterprise Development
Weidemann, Wesley	Weidemann Associates, Inc. USA	President
Yanggen, David	USAID/CARPE DRC	Directeur Adjoint

Annex D. List of Documents Consulted

1. Central Africa Regional Program for the Environment—CARPE—Strategic Plan, FY 2003-2010, December 20, 2002.
2. Environment and Development Group 2002. CARPE Phases 1a and 1b Evaluation—2001: Main Report, February 2002.
3. USAID 2002. Biodiversity Conservation Program Design and Management: A Guide for USAID Staff. Washington, D.C.: USAID Bureau of Economic Growth, Agriculture, and Trade; Office of Environment and Natural Resources. June 2002.
4. USAID 2005. CARPE II Revised Performance Management Plan, March 16, 2005.
5. USAID/DRC 2005. CARPE Annual Performance Report, FY 2005-2008.
6. USAID/CDIE 1997. Performance Monitoring and Evaluation TIPS, The Role of Evaluation in USAID, No 11.
7. Program Agreements for the following: World Wildlife Fund, Wildlife Conservation Society, African Wildlife Fund, IUCN, Conservation International, World Resources Institute, US Fish and Wildlife Service, NASA, US National Park Service, the Smithsonian, and the US Forest Service.
8. Annual Reports for each agreement—2003, 2004, 2005.
9. Mid-term reports for each agreement—2003, 2004, 2005.
10. USAID review of partners' mid-term and final reports, 2005.
11. CBFP documentation—strategy and any reporting that is done.
12. Other donor programs that are linking with CARPE
13. Congo Basin Forest Partnership 2005. The Forests of the Congo Basin: A Preliminary Assessment, pp. 34.

Annex E. Terms of Reference for the mid-term assessment

STATEMENT OF WORK

Mid-term Review of SO 605: CARPE

I. OBJECTIVE:

The objective of this Statement of Work is to provide for the mid-term assessment of the Central Africa Regional Environment Program (CARPE) SO 605 that will 1) review its progress toward achieving its 2003-2010 strategic objectives and 2) to develop an options framework based on identification of any gaps and opportunities to support changes necessary to ensure successful achievement of those strategic goals.

II. REGIONAL SETTING AND PROGRAM BACKGROUND:

Central Africa contains the second largest contiguous moist tropical forest in the world, representing nearly 20% of the world's remaining biome of this type. More than 60 million people live in the region, and these people depend on their rich forests and other biotic resources for their livelihoods and economic development. The Congo forests form the catchment of the Congo River, a basin of local, regional and global significance. They provide valuable ecological services by controlling and buffering climate at a regional scale and by absorbing and storing excess carbon dioxide released from the burning of fossil fuels, thereby helping to slow the rate of global climate warming. The forests also provide food, shelter and livelihoods for many of the regions people and nearly half of the region targeted by CARPE is under forestry concessions, making the forest use central to the region's economy. Deforestation trends and other threats to the forest are increasing in the region that will ultimately negatively impact the development potential of the region.

The countries in the region remain fragile, many having suffered from war with large displacements of their population since the CARPE program began, however the governments of the Congo Basin have recognized the threat and through the signing of the Yaounde Declaration they are indicating a desire to act. Several governments have begun to put appropriate legislative and policy frameworks in place, though implementation is lagging due to inadequately trained personnel and other deficiencies in capacity to implement these commitments. Official recognition of the need for regional cooperation in tackling these challenges is high, and has already led to cooperative work and the formation of channels and structures for collaboration. These need to be greatly enhanced to bring about practical results.

Recognizing the importance and difficulty of conservation in the Congo Basin, USAID began a 20 year program in 1995 aimed at reducing the threats of deforestation and decrease in biodiversity. The current strategic phase of the initiative, CARPE II, began in 2003 and will operate until 2010. CARPE II works in nine countries within the Congo Basin with the strategic objective of reducing the rate of forest degradation and loss of biodiversity through increased local, national and regional natural resource management. CARPE II is using the knowledge and capacity built under CARPE I to implement sustainable natural resource management practices in the field, improve environmental governance in the regional and strengthen monitoring capacity.

Although CARPE I was viewed as highly successful, the evaluation of the program revealed several issues that needed to be considered in moving forward CARPE. In its initial phase, CARPE focused on two main issues, building an information base for the region on the resource base and building local capacity through a small grants program and divided effort into themes that included forestry, protected areas, and environmental governance. The program had suffered from a shifting focus which had come from the combination of its broad focus and small budget. In the forestry sector, CARPE I strengthened monitoring and worked on national level policy with some small projects looking at improved forest management regimes—this latter part lacked a systematic approach. The focus on protected areas, although the largest investment, was weak in proportion to the challenge and had not really been designed to be able to systematize the findings, particularly in the area of financing and capacity building. The work on environmental governance was found to be lacking good coordination and integration of local governments and people and was insufficient to truly understand how local resource management affected and could effect change in the forest.

In general, the review of the first phase of CARPE found that it had been successful given the limitations of its budget and the constraint of being managed from Washington. It was recommended that the profile of CARPE in the region would be raised if the program was moved to the field. In general, the reviewers suggested that CARPE Phase II focus more on how land and resource uses can be zoned and regulation to support the conservation needs for forests and biodiversity. The work in monitoring was praised, but it was noted that socio-economic information should be strengthened. There was also praise for the small grants program because of its ability to involve local people and build local capacity and it was recommended that this element be continued. Further, there was a strong recommendation that the program conduct frequent self-examination to ensure better central focus of its efforts. Given the limited budget, it was recommended that the program limit itself to a few landscapes to work on a more integrated approach within those landscapes. The follow-on strategy design considered these suggestions in full.

Unforeseen during the evaluation, the timing of the design and implementation of CARPE II corresponded with the initiation of an international agreement reached at the 2002 World Summit on Sustainable Development (WSSD) where governments, NGOs and the private sector recognized the importance of conserving the Congo, the world's second largest remaining tropical forest, by creating the Congo Basin Forestry Partnership (CBFP). The USG chose to use the CARPE II results framework as an umbrella for many of the activities that the US is undertaking in support of the CBFP.

The USG commitment to CBFP was to provide \$52 million support to the CBFP over the period 2002 to 2005. The majority of that funding is being passed via CARPE. The objectives of CBFP and CARPE overlap significantly and an interagency team provides advice and recommendations related to CBFP activities under CARPE. While CARPE landscapes encompass all of the CFBP areas, CARPE also works in an additional area, the Virunga landscape, thus encompassing nine countries (Burundi, Congo/Brazzaville, Central Africa Republic, Cameroon, Equatorial Guinea, Democratic Republic of Congo Gabon, Rwanda, and Sao Tome-Principe). Additionally, CBFP includes partners other than CARPE partners. Given its strategic focus, CARPE must implement its part of the CFBP US commitment through activities that are consistent with its SO and IRs but that support the conservation of the 11 CBFP landscapes under CFBP. The implementation of the CFBP related activities within CARPE are overseen by an Interagency Committee that meets regularly in Washington.

III. NEEDS STATEMENT:

CARPE Phase II will be in its third year of implementation at the time of this assessment. Given the 7-year period for this phase of CARPE, it is necessary to check the validity of the strategic approach based on expected and actual results at the mid-term point. This assessment will look at three levels: **performance of the program** elements toward achieving their results; **the management structure** and how this is affecting the program performance; and the **overall strategic design** and how well it is moving the program to results that will ensure the long-term conservation in the Congo. These areas need to be analyzed for the following questions to determine if specific changes are needed in the program that will improve its effectiveness and help ensure that strategic objectives of CARPE are achieved.

- Is the program advancing on track so that CARPE will reach its goals for Phase I by 2010 and for the overall program by 2015?
- Is CARPE design sufficient to ensure that the results and impacts achieved will be maintained beyond the LOP of CARPE?
- What are the priorities for maintaining and changing approaches of management and/or programming to ensure that CARPE is on and stays on track?

The answers to these questions will be used to guide the mid-term decisions concerning program content, funding and management with the obligation of FY 2006 funds and beyond. The timing of this assessment is made more salient because 2005 marks the end of the USG's commitment to CBFP. An evaluation at this time is necessary to determine the results of the US effort in its participation in CFBP via CARPE and to help CARPE strategize for the post-commitment era. How CARPE and the CBFP integration should precede beyond the FY 2005 obligations so as to most effectively achieve their two similar goals is one of the central questions for USAID and other participants that will be assisted by the outcomes of this assessment.

IV. STATEMENT OF WORK:

To address the needs for this review, a three-stage work process is envisioned, with three corresponding products: a detailed work plan that includes preliminary outlines for the second and third deliverable, an assessment of current program performance, management structure and strategic review, and an options framework for the second half of CARPE II that lays out options for maintaining and changing programs, management and strategic design that will support CARPE II reach its goals for this phase and help ensure that the program is positioned to reach the overall program goals by 2015. The contractor is however invited to use his/her creativity to propose alternatives to the vision of process and products given here. In that sense the provisions below are illustrative.

The evaluation will be carried out in close coordination with the CARPE Team and should be designed for transparency and participation by CARPE's main partners and counterparts, including other participating USG agencies, in-region and DC based offices of principle implementing NGOs, USAID and State Department offices, other donors in the region and host country governments and institutions. The CTO must provide prior approval of all documents produced by the contractor before they can be distributed beyond the CARPE Team.

This process should result in three final documents: 1) a detailed work plan that includes a preliminary outline for the evaluation, which shall be submitted as a draft to USAID CARPE Director within two weeks signature of the Task Order; 2) an assessment/evaluation of CARPE's program performance, its management structure and of the overall strategic design of the program with recommendations that will guide the decisions made to optimize activities for the successful completion of CARPE II, to be submitted within two months of approval of the work plan; and 3) summary presentation materials, one PowerPoint and one-page summary hand-outs, that will be used to disseminate the findings of the evaluation to partners and other actors, to be submitted within three months of signature of the Task Order.

- 1) The work plan: The detailed work plan should be developed in collaboration with the CARPE team and should lay out the overall approach, specific activities to be completed and a schedule for the completion of the tasks. The approach proposed should be as participatory as practical given the scope of the program, its political profile, its physical locations, and time and budgetary considerations. The CTO will approve the work plan. The plan will be subject to modification during implementation by mutual consent. The work plan shall be submitted to CARPE Director within two weeks of signature of the Task Order.
- 2) The Evaluation: The overall evaluation will consider three CARPE aspects or areas: **program performance; program management; and the strategic design.** The evaluation shall examine the strengths and weakness of the program elements, how the program management is advancing CARPE toward reaching its objectives and will review the underlying assumptions and hypothesis of the strategy to determine how robust the program is in light of the outcomes to date. In general, the document will identify where and why CARPE is succeeding or not succeeding, analyze the "sustainability" of its impacts, and specifically recommend how to improve, enhance or extend achievement of the intended results through changes in program, management or overall strategic design. The report will be divided into four sections that address the following topics:

a. Program performance:

The Contractor will gather information and prepare an assessment of the performance of current programs under CARPE, which includes the 12 landscape sites and the supporting work being done by federal agencies in terms of monitoring, policy, and capacity building. (a list of the sites, the partners on each and CARPE's other partners can be found in Annex III), and the work of "cross-cutting" implementing organizations on environmental governance and natural resources monitoring.

The initial step in this process will be based on analysis of the documentation from these different activities. As a performance based program, CARPE has an annual cycle of work planning, reporting and evaluation that will provide data and information for performance analysis. The document analysis will guide interviews with partners, particularly in Kinshasa and Washington and help identify no more than two site visits that will be used to ground-truth the reported information.

The following should help guide this part of the analysis:

- i. CARPE works in 12 landscapes. Which sites are achieving or exceeding their goals? What factors seem to have the greatest influence in whether or not a site is achieving its goals? Are the overall goals realistic for the different landscapes or do they need to be adjusted? Are the measures of accomplishment fair and sufficient to actually capture the progress and impacts being made in these landscapes?
- ii. CARPE has a large set of implementing partners with several partners combining skills to implement a landscape land use planning and implementation process. In which sites or in addressing which issues has this integration proved the most effective? What factors seem to contribute to that effective collaboration?
- iii. CARPE has a set of activities that are not directly working in landscapes, but are designed to achieve results that are related to policy, NRM monitoring or capacity-building. Which of these projects are the most effective in contributing to the strategic objective? Which of these approaches has proven most effective in supporting the enabling environment for progress on the landscapes?
- iv. There are three Intermediate Results (IRs) in CARPE's strategic framework. Is sufficient progress being made under each of these IRs to achieve the planned result of reducing the degradation and loss of biodiversity through increased local, national and regional resource management? What changes in priorities and/or allocation of resources need to be considered to ensure sufficient progress across the IRs?
- v. The Phase I evaluation strongly supported maintaining the small grants program as an effective capacity building tool. Is the small grants program still an effective capacity building tool within the new landscape approach? Does this program provide sufficient support to capacity building for overall accomplishment of the program goals? Is the effectiveness of this program being captured by the PMP?
- vi. The CARPE Focal Point positions were carried over from Phase I and are administratively managed by WWF in Gabon, DRC and Cameroon. Is the role and Terms of Reference of the Focal Points consistent with the stated results of Phase II? Are the Focal Points effectively carrying out their new TORs? Are CARPE partners and stakeholders aware of the role of the Focal Points? Should there be changes in the Focal Points TORs or management?
- vii. CARPE is the USG's vehicle for contributing to the Congo Basin Forest Partnership. How is the linkage with and focus on CBFP affecting CARPE's achievement its overall goal of reducing deforestation and conserving biodiversity? How should this linkage be changed to better support sustainability in light of current and future commitments to CBFP?

b. Management structure assessment

The contractor will gather information and prepare an assessment of the management structure of CARPE. CARPE is managed as multi-directional collaborations across the region and functions in the context of a US international commitment to cooperation with multiple levels of oversight. The 12 CARPE landscapes, which are the basic framework for management decisions, currently span seven countries of which only two have USAID missions. The CARPE program staff is in Kinshasa and the agreement officials are in Nairobi. The mechanisms used for obligating money involve collaboration with the EGAT and Africa bureaus in Washington. And, CARPE's activities as linked with the CBFP are overseen by an inter-institutional body in Washington that has USG agency representatives and representatives from the CARPE federal agency implementing partners. Additionally, the CARPE Focal Points are working at country level as stated in a.vi above.

The contractor will examine the multiple layers of management involved in CARPE from the perspectives of the USAID, the CARPE implementing partners, the interagency committee, other donors and the host countries. Interviews with a selected group of those involved in USAID, the Department of State, other USG and the international NGOs and donors in both Africa and Washington DC should center on the degree to which the management structure as it exists is helping and/or slowing the progress of this program and be guided by the following :

- i. CARPE was transferred from Washington to Kinshasa in 2002 to increase the visibility of CARPE in the region and improve coordination with different CARPE actors. Has this change been effective?
- ii. CARPE has multiple layers of coordination and must answer to diverse interests. How clearly are the roles and responsibilities of USAID, its partners and other actors defined in the implementation of programs? Are these responsibilities sufficiently coordinated? Is staffing at the various management levels sufficient to ensure good implementation as well as good coordination of the program?
- iii. CARPE's principle landscape agreements are funded via Washington based Leader with Associate mechanisms. What are the advantages and disadvantages of the current agreement arrangements? How do the terms of the agreements influence the management of the program both in technical and financial terms? What changes should be considered?
- iv. Each landscape or landscape has an assigned NGO segment leader that is responsible to USAID for managing and coordinating the work plans and budgets for all the implementing partners for that landscape/segment. Has the landscape leader approach been effective for USAID and for the partners on consolidating the efforts within these sites? How does this structure impact prioritization of the program given indicators and outcomes? Has this structure increased coordination within and between sites?

c. Assessment of the strategic design

The contractor will gather information and prepare an assessment of the strengths, weaknesses and overall continued validity of the strategic design of CARPE II. This assessment should take into consideration the recommendations of the evaluation of CARPE I, how were these recommendations have been addressed and integrated into the design of the Phase II, and whether those efforts have increased the program's effectiveness. The contractor should examine these issues against the changes in context that have occurred. The assessment should discuss the continued validity of the key factors and critical assumptions made in the development of this strategy and if these need to be redrawn. The assessment should build from the outcomes of the performance and management review chapters, address the central questions of whether the program is on track and, if not, how program design, management structure and/or the planned goals and objectives are limiting the progress of the program.

- i. The overall goal of CARPE is to reduce deforestation and loss of biodiversity in the Congo Basin. Is CARPE II on track to achieve its goal by its end in 2011 and 2015? What are the strengths and weakness of the current program design elements of CARPE's current structure and design that will affect the achievement of its goal? Moving to the second half of this strategy, are there adjustments in the performance, management or overall strategic design that need to be made and what adjustments would be advised?
- ii. CARPE is a regional program in an area that has been highly conflicted and where the USG has a weak presence. How does the context of this program affect its implementation and impact—consider the stability of the countries, the lack of bilateral missions and the level of corruption? Has the context changed and, if so, how? Are the critical assumptions still valid or, if not, how do they need to be changed?
- iii. CARPE II is authorized until 2011 and a follow-on Phase II is envisaged to continue until 2015. Will there be sufficient capacity and viable models in the Congo Basin at the end of CARPE to maintain the progress it has supported toward sustainable natural resource management in the region? What key factors need to be in place by the end of Phase II that will ensure the sustainability of CARPE's impacts once USAID investment ends?

- iv. CARPE is designed around 12 landscapes. What are the strengths and weaknesses of this landscape focus? Should CARPE consider a more active role in identifying and addressing cross-cutting issues between landscapes that impact the enabling environment for conservation of those landscapes?
- v. Building local conservation capacity is a major goal of CARPE. Is the current approach of the NGO implementing partners and cross-cutting federal agency service providers adequately addressing the capacity building objective? Is the small grants program sufficient to satisfy the capacity building needs of the local NGO aspect of this program? If not, what changes are needed to improve impact in this area, or what other programs need to be considered to fulfill the capacity building needs of the region?

d. Recommendations for optimization of CARPE

In the final chapter of the evaluation the contractor should provide a framework of recommendations on options for maintaining and changing program elements, management structure and/or the overall strategic design of CARPE to most efficiently use resources to ensure successful completion of the program objectives as set forth in the program strategy, project agreements and work plans. This chapter could contain the following:

- i. Dispassionate overview of the weaknesses, gaps, strengths, constraints, opportunities, and challenges as indicated by the review of the performance, management and with consideration of the stated objectives and purpose of CARPE II and CARPE overall.
- ii. Discussion of whether and how to incorporate a more development based approach as part of the programs strategic goals and implementation constraints.
- iii. Analyze alternatives for improving the regionalization of the program through linkages across the landscapes. How could these assist in the more effective consolidation of the management within the landscapes? Potential links could be topical, geographic, political, sectoral, or identification of common capacity needs.
- iv. Review the roles, responsibilities and performance to date of USAID, government agencies, NGOs, and private sector partner organizations and how to optimize these.
- v. Discussion of what level of funding is necessary to achieve the targets and results as described in the PMP and strategic framework. Is the progress of this program toward its overall goals on a trajectory to achieve these stated results? If funding declines, what are the critical elements to maintain and what will be the impact of discontinuing lower priority elements of the program in terms of the reduction in results and impacts of this program?

V. TASKS, DELIVERABLES AND SCHEDULES:

This project will consist of five main tasks with three with final deliverables. All of these tasks should be carried out as a team. Work on each task will overlap with that on previous and subsequent tasks and the consultant team is expected to have regular consultation the CARPE program team. Any draft material must be cleared by the CTO on this contract before it can be shared outside of AID. Deliverables are as indicated. The schedule outlined reflects limits imposed by outside constraints and is subject to modification in the final work plan, preferably to shorten it by condensing the process.

Task 1: Prepare Detailed Work Plan

Under this task the consultant team will be provided a packet of basic material on CARPE to review (current strategy, last evaluation, annual report and final annual report for all programs) and will submit for approval a work plan outlining overall approach, specific activities to be completed, and schedules for each of the following tasks. This plan

should be prepared in consultation with the CARPE team and will be subject to modification during implementation by mutual consent. The deliverable will be the final written plan. This initial work plan proposal should be submitted for approval within three weeks of signing of the Task Order.

Task 2: Analysis of performance, management and strategic design

The contractor will gather information and prepare an assessment of the performance of the current programs and partners, the management structure and the overall strategic design. This process should be participatory and include as many of the major actors influencing CARPE as is practical given time constraints.

Review of appropriate documents: The contractor will review a broad set of CARPE, CBFP and other pertinent documentation as provided by USAID and the CARPE team. The contractor will identify and create additional documentation to assist in the development of their review questions and key contacts for participation in the evaluation. CARPE has now an annual program documentation process that allows for the management to receive consistent data from its 12 landscapes and other partnerships semi-annually. In addition most work plan and results documents are posted on the CARPE web-site and there is a rich literature from CARPE I. The contractor is urged to identify and record further documentation discovered valuable during this review. After the documentation review, the contractor should present to the CARPE team a plan of who will be contacted and how they will seek consistent input from the key actors. The contractor will also identify not more than two field sites for visits that will provide them with an opportunity to confirm the information on performance, management and coordination.

Interview of a sample of key actors: Contractors should plan to contact/interview partners in Kinshasa as well as their home institutions in DC, key actors from the interagency process (performance, management and strategy), key USG contacts in the countries where CARPE operates (program strategy and management) and the administrative backstops in Nairobi concerning CARPE (management). Although different actors have specialized views, the contractor should be seeking from each their view of CARPE's effectiveness, strengths and weaknesses in terms of their own institutions, relative to the CARPE program framework and relative to the needs and opportunities in the region.

Site visits: The team will travel to no more than two field sites. The visits will be designed to help the consultant team verify the results that are being reported in the CARPE reporting documents as well as to provide context and local input to the evaluation. The sites will be decided upon by CARPE staff after consultations with the contractor. The visits will be conducted from Kinshasa to representative landscape sites in Central Africa. USAID will arrange for and pay for air charter services to these two sites.

Task 3: Draft report of the performance, management and strategic design assessment and options for optimization

The draft assessment will be prepared and submitted to CARPE for review and comment. After taking CARPE comments into account and with CTO clearance, this report will be subjected to a participatory commentary process to be proposed by the contractor. Comments will be reviewed and considered in the redrafting of the final document. A summary of the comments will be included as an annex.

Task 4: Final report

After incorporating the comments, the draft report will be resubmitted to CARPE for final review. Comments and corrections will be incorporated in preparing the final document and the Executive Summary will be translated to French. This final version should be received within 30 days of the CTO acceptance of the final draft version. The final document should be delivered to CARPE in electronic and hard copy. Distribution of the document will be by the CARPE team.

Task 5: Presentation of the conclusions

The team leader of the project will develop a public presentation of the conclusions of this evaluation, including PowerPoint presentation and a one-page summary hand-out in both English and French language. The materials shall be developed with the target audience of USAID/Washington officials, the interagency committee and furthermore for regional use by US Embassy Public Diplomacy programs, host country actors and other donors. The materials will be approved by USAID before production.

Annex F. Suggestions for Improvements in the Results Framework and Indicators

Committees have been formed to decide on standardization of indicators for natural resource monitoring for the State of the Forest Report. The standardized indicators and monitoring methods should be adopted in CARPE landscapes.

The following are specific recommendations for each IR and indicator:

IR 1: Natural resources managed sustainably

IR Indicator 1.1 Number of landscapes and other focal areas covered by integrated land use plans; Indicator and workplan targets should be calibrated to take into account the different context, threats, and challenges in each landscape.

IR Indicator 1.2 Number of different use zones (e.g., parks & PAs; CBNRM areas; forestry concessions; plantations) within landscapes with sustainable management plans

Targets for landscape level indicators in the next phase need to be defined in a way that leads to more objective and quantitative measurements. This could be number of organizations actively involved in land use planning; percentage of LS area for which zones have been delineated; percentage of LS area for which there is a management plan; number of agreements signed between local LS partners such as government conservation agencies, forest management agencies, concessions, and CBOs to implement management plans; number of associations formed to create jobs and improve local livelihoods, such as farmer marketing groups, community forestry enterprises, ecotourism, etc.

IR Indicator 1.3 Number of landscapes or other focal areas implementing surveillance system for illegal logging

According to the Illegal Logging Task Force Report, “it is believed that in general the forestry legislation of Central Africa is sufficiently detailed and precise to allow proper determination of what is legal or not. However, many of the application texts supporting the enforcement of these forest laws have yet to be passed or applied, thus effectively rendering full compliance with the law difficult at best.”

LS partners that were interviewed were not able to provide much information about the extent of illegal logging within the landscape. The recommendations of the Illegal Logging Task Force¹ on monitoring at the LS level should be adopted, as well as the recommendation to revise the indicator parameter to “violations brought to the attention of the public, of international markets, and of the Government authorities.”

IR Indicator 1.4 Number of landscapes implementing Bushmeat surveillance system

CARPE partners have initiated data collection and other interventions related to Bushmeat in almost all landscapes, although there is no standard approach.

Strategies to address the Bushmeat threat need to move beyond monitoring. Instead of measuring number of landscapes implementing a Bushmeat surveillance system, develop methods to measure how landscape and country level interventions are having an impact on reducing illegal Bushmeat harvesting and trade. This indicator could measure the impact of a wide range of livelihoods, policy, or enforcement interventions, depending on local Bushmeat issues and the threat posed.

¹ Beck, Jim; Blom, Allard; Devers, Didier; Makana, Jean-Remy; Methot, Pierre; Veit, Peter, 1005. *Illegal Logging Task Force Report*, CARPE, 12 pp.

IR 2: Natural resource governance (institutions, policies, laws) strengthened

IR Indicator 2.1 Number of key new laws or policies for PAs, logging concessions, and CBNRM passed or old laws and policies reformed compared with a list of recommended or promoted reforms
CARPE partners have not developed a consensus regarding a policy agenda for CARPE involvement and their suggestions for such a *future* agenda mostly relate to landscape-specific issues and policy execution and enforcement.

IR Indicator 2.2 Number of NGO (and other civil society organizations) advocacy initiatives & activities (e.g., media articles about environmental governance issues e.g. illegal logging, Bushmeat poaching; NR court cases brought or complaints filed with appropriate government agencies) recommended or promoted reforms.

These initiatives are reported by implementing partners in the Country level reports, nevertheless, with the exception of Cameroon, NGO policy initiatives have mostly focused on issues at the landscape level rather than at the national level.

Some of these activities relate to new policies but most relate to implementation and/or clarification of existing policies: (Virunga park boundary demarcation/tri-national acceptance; establishing community hunting/fishing zones within forest concessions in ROC; tourism planning for conservation areas (AWF in Virunga; WCS in Gabon).

IR 3: Natural resources monitoring institutionalized

IR Indicator 3.1 Number of landscapes or other focal areas with forest cover assessments

- UMD and NASA are providing remotely sensed data, which is to be verified on the ground by landscape implementing partners. Landscape implementers have not yet begun to report on this indicator. The next step should be to use the GIS modeling tools to classify forest types, and then develop ground-truthing inventory designs that can be realistically carried out in the landscapes.
- WRI's Global Forest Watch produced the Interactive Forestry Atlas for Cameroon. WRI/GFW has widely disseminated the atlas and provided training on how to use the data and tools. The atlas is intended for use in policy advocacy and increasing transparency by making objectively compiled data on forest resources available to all. Nevertheless WRI/GFW's stance on its application is politically neutral – they do not advise partners on how the data should be used to improve natural resource governance.

IR Indicator 3.2 Assessment of capacity of Congo Basin (African) institutions (e.g. government agencies, universities and research institutions, NGOs, regional institutions) to collect and analyze information of adequate quality for decision making

WRI has compiled a report on “Preliminary assessment of capacity of Congo Basin (African) institutions to collect and analyze information of adequate quality for decision-making. For the most part other CARPE partners have not carried out assessments of national level agencies, universities, forestry schools, research centers or NGOs. World Bank and EU programs planned for several countries in the region will address some of these issues. CARPE could contribute to institutional assessments carried out by other donor programs by adapting existing institutional assessment indices to standardize measurement of increased institutional capacity.

Assumptions: USAID should alter the critical assumptions to reflect an ability to continue limited implementation in most conflict and fragile situations

Annex G. CARPE FY05 annual report (partial) showing progress to date in meeting long-term CARPE objectives

USAID/Central Africa Regional Annual Report FY 2005

January 31, 2005

Central Africa Regional

Cover Memo

MEMORANDUM

TO: AA/AFR - Lloyd Pierson

FROM: USAID/DRC Mission Director - Robert Hellyer

DATE: December 17, 2004

SUBJECT: Cover Memorandum for the Central African Regional Program for the Environment (CARPE) FY 2005 Annual Report Submission

USAID/DRC hereby submits the Annual Report for the Central African Regional Program for the Environment (CARPE) Strategic Objective (SO) number 605-001. An Annual Report document for CARPE separate from that submitted for the bilateral program managed by USAID/DRC is required per Annual Report Africa Bureau Supplemental Guidance. CARPE is notified as one single SO in FY 2005 as Central Africa Regional 605-001. It is a separate SO in the USAID/DRC program: Reduced rate of forest degradation and loss of biodiversity through increased local, national and regional natural resources management capacity.

CARPE is the principal vehicle for United States participation in the Congo Basin Forest Partnership (CBFP), a U.S. Presidential Initiative and international partnership. Results are reported semi-annually via the On-Line Presidential Initiative Network (OPIN) system. In addition to the CBFP, CARPE supports a broad range of US interests and Congressional earmarks, including biodiversity and tropical forestry conservation, global climate change, micro-enterprise, and the Presidential Initiative Against Illegal Logging (PIAIL.)

Because CARPE operates in mainly non-presence countries, the USAID Operating Unit based in Kinshasa has the unusual responsibility for coordinating CBFP implementation and policy with U.S. Embassies throughout Central Africa, several U.S. federal agencies, other donors, and private sector partners. The SO Team Leader and Mission Director travel extensively throughout the region to ensure that all Ambassadors and country teams in CARPE countries are fully briefed on CARPE and CBFP actions and plans. This coordination is costly and time consuming, but it has greatly facilitated interagency and international coordination.

USAID/DRC proposes no changes in the strategic plan at this time. A Performance Management Plan, developed through an extensive participatory process with CARPE partners, was approved in January 2004. Cooperative Agreements under the program are performance-based. The FY 2004 obligation, the second under the Strategic Plan, was concluded after a thorough performance review of the first six months of field implementation. Sufficient flexibility is built into the program to allow USAID/DRC to allocate SO financial resources according to those activities and geographic areas where conditions are most conducive to achieving results. This flexibility will allow USAID/DRC to make the most effective use of program resources. A major program evaluation is planned for early FY 2006.

Implementing partners include a broad selection of international conservation non-governmental organizations (NGOs), U.S. federal agencies, local NGOs, and regional governments and their agencies. Increasing participation of the private sector was achieved during FY 04, particularly with private logging concessions.

There are no major resource issues expected for 2005. All staff positions are program-funded, nevertheless, attracting and retaining qualified management staff will be a chronic problem. If additional biodiversity funds should be available in FY 2005, CARPE can readily and effectively make good use of additional resources.

A. Program Performance Summary

Program Narrative (FY 2004): The Congo Basin contains the second largest area of contiguous moist tropical forest in the world. Central Africa's tropical forests (of all types) cover approximately 2 million square kilometers; the Congo Basin's moist deciduous forests cover approximately 1.14 million square kilometers, nearly 20% of the world's remaining area of this biome. Tropical rainforest covers parts of Cameroon, the Central African Republic (CAR), Democratic Republic of Congo (DRC), Republic of Congo (ROC), Equatorial Guinea, and Gabon. These forests form the catchment basin of the Congo River, a watershed of local, regional and global significance. The forests provide valuable ecological services by controlling and buffering climate at a regional scale, and by absorbing and storing excess carbon dioxide released from the burning of fossil fuels, thereby helping to slow the rate of global climate warming.

Of the more than 60 million people that live in the region, about 22 million are located in urban areas. At present rates of population growth, the region is expected to contain 150 million people by the year 2025. Population density is on the whole quite low, with a regional average of 14 persons per square kilometer. There is considerable variation within the region, however, ranging from 4.5 persons/km² in Gabon, to 25.4 persons/km² in Cameroon. While much of the landscape remains sparsely populated, rapid urbanization has created severe localized pressures on forests and other natural resources. Recent deforestation trends have been troubling, and population and economic pressures are building which could further accelerate forest loss in the region.

Oil and mineral revenues for some countries have been declining (Gabon, DRC and Cameroon, for example), while for others they have started to increase (Equatorial Guinea, most notably). Governments and private commercial interests have meanwhile been turning more energetically to the forest as a revenue source, in some cases to compensate for lower oil and mineral revenues, and in others as a response to global demand for tropical timber products.

Conflict has affected many of the Congo Basin countries over the past several years. The sources of the conflict are complex and historic, but are often fueled by rivalry over natural resources including minerals and forest products. This conflict has had a devastating effect on both human and wildlife populations over large areas. Despite these extraordinarily difficult circumstances, national conservation staff supported in most cases by international Non-Government Organizations (NGOs) have managed to protect many key parks and protected areas. In the past few years, several Congo Basin countries have enacted and published new and modern forestry codes as well. These laws provide a framework for conservation and management of the vast tropical forests of the region.

After seven years of operation, the Central Africa Regional Program for the Environment (CARPE) shifted its strategic focus and changed the location of its management functions from Washington, DC to Kinshasa, DRC in January 2003. In its first phase, CARPE partners focused on increasing the knowledge of Central African forests and biodiversity, and building institutional and human resources capacity. In the next thirteen years, however, CARPE partners will apply and implement sustainable natural resources management practices in the field, improve environmental governance in the region, and strengthen natural resources monitoring capacity.

It is in the self-interest of the United States Government to support the rational and sustainable development of this region, and at the same time address global environmental concerns. The complex political and economic situation in the region limits USAID's ability to address these important development and environmental challenges on a bilateral basis, because USAID has a physical presence in only two countries in the region. For this reason, a regional approach was taken in implementing CARPE beginning in 1995. This program was designed to provide: (1) a mechanism to support conservation and sustainable management of natural resources in the tropical forests of Central Africa; and (2) a flexible instrument to carry out an analytical agenda and foster regional coordination in dealing with environmental issues. During this initial phase, African capacity has been enhanced; African institutions supported and African civil society strengthened. This groundwork has created the conditions for more intensive USAID support.

CARPE Phase II has completed the first operational year since the management was shifted to Kinshasa in 2003. The Strategic Objective of CARPE II is to reduce the rate of forest degradation and loss of biodiversity through increased local, national, and regional natural resource management capacity. In the past, conservation strategies were typically developed to fit within protected areas, community lands, or private sector holdings within political boundaries. Over time there has been increasing recognition that wildlife movements, ecological processes, and human influences move across such borders. As a result, conservation efforts that focus solely within the boundaries of national parks, private concessions, and even single countries may not succeed. Addressing natural resources management at a larger scale allows for broader examination of conflicting policies and practices across jurisdictions and land-use regimes. To accommodate a more integrated perspective the CARPE program is taking a landscape level approach to reduce

threats to and conserve the biodiversity of the Congo Basin.

Approximately 90% of the CARPE landscapes lie outside of parks and reserves, and are under the de facto or de jure administration of private sector companies. To minimize the adverse environmental impacts of land uses within these areas, CARPE partners collaborate with the private sector, particularly logging and oil companies. Already these partnerships have proven to provide significant payoffs for conservation within the overall landscapes. NGO-private sector partnerships with logging companies in the Basin have worked to eliminate hunting of protected animal species, designate no-cut zones for sensitive wildlife areas, establish local hunting regulations for non-endangered game, minimize the extent of road development, and close down roads following logging. Overall CARPE anticipates that taking this approach will help ensure the effective conservation of protected areas and biodiversity and in turn retain the intrinsic and commodity values of the forest and moist savanna ecosystems of Central Africa so that they can continue to contribute to the livelihoods of local people and the sustainable economic development of these nations.

Challenges: The challenge facing decision makers, the global community and Basin citizens alike is to strike a balance in the conservation of these natural resources to satisfy current needs while protecting the resource base for future generations. This challenge is particularly acute in the face of prolonged political instability and conflict in many of the Basin countries, weak governance institutions, seriously depleted human and institutional capacity and a rapidly growing international demand for both tropical timber products and non-timber forest resources.

The “landscape approach” taken by CARPE focuses on managing large, multiple-use forest zones with high priority for biodiversity conservation. Many of these landscapes overlap two and even three country borders. Coordination among multiple governments, other donors, implementing partners and multiple stakeholders is a substantial management challenge for CARPE and its implementing partners. Several mechanisms are being developed to cope with these management challenges including the concept of “landscape leaders”, steering committees and other structures, but the transaction costs of coordinating multiple actors are significant, while implementation capacity is only now reaching a desirable level.

Because USAID does not have direct agreements with regional host governments and is physically present only in the DRC and Rwanda, an important CARPE challenge is to facilitate positive interaction amongst the U.S. Embassies, the implementing NGO partners, host governments, and regional African institutions. Given the Program’s staffing constraints and the management needs spanning several countries, it is a challenge to evenly address the political, management, administrative, and technical demands of the program.

Key Achievements: The launching of the Congo Basin Forest Partnership (CBFP) has raised the profile and worldwide interest in the overall conservation of the Congo Basin. The United States facilitation of the CBFP over the past year has greatly solidified the collaborative spirit of the program and has catalysed the dialogue between the international partners. On the ground the CBFP has proved to be a significant collaborative forum to mobilize and engage the political will of the Congo Basin country governments to collaborate on the management and conservation of the Basin resources. USAID’s contribution to this partnership is implemented through the CARPE II program’s direct support to 11 implementing partners.

FY 2004 marked the first year of CARPE II; program implementation and substantial progress was made towards achieving the annual performance benchmarks. In all CARPE countries, partners have developed relationships with local communities, private and public sectors and other stakeholders towards the creation of land use plans within the target landscapes. CARPE partner collaboration with the private sector has raised the standards for forest management throughout the Congo Basin. Several major logging companies are moving toward forestry certification and in the process have committed to improving management practices through activities such as halting the bush meat trade associated with their concessions.

CARPE is working to improve conservation and sustainable resource management across the Basin in over 65 million hectares. In the Sangha Trinational Landscape, which straddles the borders of Cameroon, ROC, and the CAR, capacity building efforts have led to the creation of a business development plan for the landscape. This plan will form the foundation for the soon to be established Sangha Trinational Trust Fund, the first of its kind in the region. In Gabon, a newly strengthened Gamba Conservation Center was launched as an information hub providing technical support, data and coordination services for all current and potential collaborators in the region.

Generating significant financial resources to support the long-term management of protected areas in the region is a notable challenge that CARPE partners have taken on. Over the past fiscal year, partners have made inroads. In Gabon, business plans for 13 new National parks have been developed, with significant resources already attracted. The national governments of Cameroon, Gabon and the ROC have endorsed landscape management plans for a tri-

national landscape, with Global Environment Fund resources over \$10 million already secured.

The CARPE program is reporting on two indicators from the performance monitoring plan to the USAID annual report this year: the number of different use zones (e.g., protected areas, community areas, forestry concessions) within landscapes with sustainable management plans; and, the number of landscapes or other focal areas with forest cover assessments. Eight sustainable management plans are being reported in year one. Seven of the eight sustainable management plans are in Gabon. Shell Gabon manages four separate areas with certified environmental management plans in their oil concession lands located in the protected areas of the Gamba Complex. An additional three logging concessions in northern Gabon are operating under sustainable management plans. The management plans guide the utilization of resources and guarantee that resources are used or harvested at sustainable rates. Although CARPE is reporting zero forest cover assessments for Fiscal Year 2004, by the end of the 2004 calendar year, there will be a very high resolution change map available for the Maringa Lopori Wamba landscape in the DRC. Creating a baseline for deforestation will allow partners to analyze the forest cover change at the landscape level and also allow for the development of immediate responses to areas experiencing higher levels of deforestation. It is expected that over the life of the program, high resolution change maps will be available for most, if not all of the landscapes.

Environmental Compliance: The initial environmental examination (IEE) was completed in 2003 and approved by the Bureau Environmental Officer (BEO). During FY 04, as more detailed work plans were developed by partners and approved by USAID an amended IEE that reflects actual field activities was prepared by the CARPE SO Team and submitted in July 2004 for approval by the BEO.

B. SO Level Performance Narrative:

605-001: Reduce the Rate of Forest Degradation and Loss of Biodiversity through Increased Local, National, and Regional Natural Resource Management Capacity

Performance Goal: Partnerships, initiatives, and implemented international treaties and agreements that protect the environment and promote efficient energy use and resource management

SO 04 Performance Overview: FY 2004 was the first year of implementation under the CARPE II Strategic Objective. Activities commenced in 12 CARPE focal areas covering seven countries in the Congo Basin to reduce the rate of forest degradation and loss of biodiversity through increased local, national, and regional natural resource management capacity. The CARPE II Performance Management Plan was approved in FY 04 following a participatory workshop held in Washington which contributed to the finalization of the results framework. Progress towards the intermediate results varies widely among the CARPE landscapes; however, across all of the focal landscapes partners have established appropriate management structures to effect positive conservation impacts on the ground. The program has completed one cycle of reporting, (semi-annual report, annual report, work plan), USAID/DRC has determined that, with some fine tuning, the reporting structures will be an effective way for USAID and partners to track progress and monitor performance comprehensively and consistently across all the landscapes and partner organizations ensuring accountability for results.

The CARPE program is reporting on two indicators from the performance monitoring plan this year; number of different use zones (e.g., protected areas, community areas, forestry concessions) within landscapes with sustainable management plans, and; number of landscapes or other focal areas with forest cover assessments. Eight sustainable management plans are being reported in year one. Seven of the eight sustainable management plans are in Gabon. Shell Gabon manages four separate areas with certified environmental management plans in their oil concession lands located in the protected areas of the Gamba Complex. An additional three logging concessions in northern Gabon are operating under sustainable management plans. The management plans guide the utilization of resources and guarantee that resources are used or harvested at sustainable rates. Although CARPE is reporting zero forest cover assessments for fiscal year 2004, by the end of the 2004 calendar year there will be a very high resolution change map available for the Maringa Lopori Wamba landscape in DRC. Creating a baseline for deforestation will allow partners to analyze the forest cover change at the landscape level and among other things allow for the development of immediate responses to areas experiencing higher levels of deforestation. It is expected that over the life of the program high resolution change maps will be available for most, if not all of the landscapes.

04 SO Performance:

Improve Sustainable Management Of Natural Resources And Biodiversity Conservation

CARPE partners made considerable progress towards achieving performance benchmarks set out in the year one work plans. In the policy arena, several CARPE country governments demonstrated their support for conservation through public commitments to establishing and strengthening national institutions responsible for natural resource conservation. With technical support and assistance from CARPE partners, the Gabonese government has taken

steps towards developing a framework for its network of National Parks which includes the recent addition of 13 new protected areas. Next door, in the Republic of Congo, the government announced at a major international conservation forum its commitment to create a new national institutional structure, the Congo Wildlife Service, to manage the country's network of protected areas. On the ground, partners have initiated zoning processes in most of the focal landscapes. One of the most important activities at the landscape level, this process will among other things, create methods to secure lands for livelihoods, ensure that forest peoples maintain traditional access rights by identifying areas for multiple-use, demarcate areas for industrial extraction and facilitate dialogue with private sector corporations and conserve globally important natural resources.

The CARPE program is a prime example of public-private alliances. Implementing partners have contributed over \$10 million to the CARPE program alliance in 2004 and an additional \$10 million will be contributed in 2005. In the context of the CBFP, a range of international organizations and private companies have already committed or are in the advance stages of committing an additional \$50 million to support the CBFP objectives. The public-private alliances have complemented and leveraged U.S funding adding value to the policy and on-the-ground implementation of the CARPE program.

The governments of all six of the CBFP countries have signed on to the Partnership and support the CBFP objectives. The host country governments either have in place or are developing legislation and regulatory frameworks that support forestry codes. A large component of CARPE focuses on the implementation of programs that inspect logging concession titles and conduct field visits for validation that logging is being carried out only where proper titles have been issued. Where violations are detected, enforcement actions are initiated by forestry authorities. Partners track the presence of illegal logging and provide an independent check on the integrity of timber harvesting.

Appropriate staffing for the CARPE SO Team and coordination of CARPE with the Congo Basin Forest Partnership Presidential Initiative pose program management challenges. At present, the CARPE SO Team consists of a SO Team leader, A Third Country National professional staffer, and an administrative assistant. Though advertising for a deputy SO Team leader was completed and a contract signed in August 2003, the individual was evacuated from post for medical complications and a replacement has not yet been identified. This gap has caused the CARPE SO Team to rely heavily on short-term administrative and technical support from a variety of sources and has substantially taxed the available management resources. It is expected that the deputy director position will be filled by Fall 2005. However, staffing problems are expected to be chronic and will limit the SO Team's oversight and coordination functions.

Because USAID does not have direct agreements with regional host governments and is physically present only in the DRC and Rwanda, an important CARPE challenge is to facilitate positive interaction amongst the US embassies, the implementing NGO partners and the host governments. Given the Program's staffing constraints and the management needs spanning several countries, it is a challenge to evenly address the political, management, administrative, and technical demands of the program.

SO: 605-001

SO Title: Reduce the Rate of Forest Degradation and Loss of Biodiversity through Increased Local, National, and Regional Natural Resource Management Capacity

Program Title: Congo Basin Forest Partnership (CBFP)

Status: Continuing

Indicator	Weight	Baseline Year	Baseline Year Data	Progress Direction + or -	FY2001 Actual	FY2002 Target	FY2002 Actual	FY2003 Target	FY2003 Actual	FY2004 Target	FY2004 Actual	FY2005 Target	Date Last Quality Assess
Number of different use zone within landscapes with sustainable management plans	4	2003	0	+	0	0	0	0	0	0	8	6	
Number of landscapes or other focal areas with forest cover assessments	4	2003	0	+	0	0	0	0	0	0	0	1	

Annex H: Partner comments on draft assessment

Mid-Term Assessment of CARPE II

Comments on Draft Final Report

Organization: African Wildlife Foundation (AWF)

Contact Person: Adam Henson;
1400 16th St. NW #120; Washington, DC 20036 USA; Tel. 202.939.3322 (w); 202.491.1459 (c)

Background and program history

CARPE Small grants: AWF would like to re-emphasize the strategic importance of the small grants program for maximizing results through local partners in the Maringa-Lopori/Wamba (MLW) landscape. We did not face problems in receiving funds from the grant program, and significant progress was made in strengthening local partnerships in the MLW through these grants.

Progress made in meeting the three IRs: AWF takes exception to the statement on pg. 23: “None of the implementing partners are reporting on indicators 1.3 and 1.4...”. In fact AWF is implementing planned activities under these IR’s which are presented in the FY06 annual report monitoring matrix. It is true that only in year 3 have we been in a position to adequately address these intermediate results, but we are now achieving results for these IR’s and will be reporting on these in the FY06 annual report.

Assessment of Program Performance

No comments.

Assessment of Management Structure and Performance

Country level coordination: AWF has found country level coordination to be less than optimal in DRC, primarily due to absence of an effective CARPE Focal Point for DRC. This function within the CARPE management structure should be given renewed urgency for the remaining period of CARPE II and into the future.

Roles/effectiveness of Focal Points: AWF strongly agrees with the last bullet point under conclusions on pg. 37. Placing focal points within partner NGOs can potentially create problems where the interests of NGO’s and CARPE are intertwined. This scenario should be examined closely when determining future placement of Focal Points.

Assessment of Strategic Design

Problems with small grant mechanism: AWF takes exception to the statement “small grants have made little impact” on pg. 46 in the section detailing the problems with the small grant mechanism. On the contrary, this program has proven to be a crucial component of the MLW landscape program as these modest funds have greatly strengthened our local NGO partnerships. AWF had no problem with this mechanism and we commend USAID for making these funds available to CARPE partners. We would argue that these funds have made a strong impact in the MLW landscape, and we re-emphasize the urgent need to continue supporting this program in the future.

Recommendations for the Optimization of CARPE

No comments.

A. CONSERVATION INTERNATIONAL

CARPE Assessment comments

Overall we believe that this assessment provides a very complete and thorough analysis of the CARPE program. It is also very fair and balanced. We agree with the overall recommendations to strengthen this key USAID program, and with the assessment's concerns regarding management, sustainability and local capacity building.

Many of our comments (see below) reflect our wish to have the report address the structural and design reasons that we believe may have led to a certain neglect of the capacity building IR. Additionally, we would like to see the report fairly recognize CI's efforts and approach, which aims precisely at addressing those management, sustainability and local capacity building issues.

We also would like to see the assessment report emphasize the need for a management planning and implementation system that is simpler and more effective. We are concerned that the frequent revisions of the management systems, the increasing complexity of the reporting documents and the focus on short-term (6-month) benchmarks have resulted in a virtual neglect of IR 2 and IR 3. This may create a negative incentive for implementing NGOs to increase their staffing structures, neglect local institutional capacity building and focus on ticking the boxes in the matrix. This outcome is counterproductive to CARPE's stated SO of "Reducing the rate of forest degradation and loss of biodiversity *through increased local, national, and regional natural resource management capacity*" (italics added).

Executive Summary: The management and planning demands of CARPE has clearly overwhelmed the Kinshasa office. The assessment underplays the delays in funding approvals and the confusion this has caused. It also underplays that the planning design is too elaborate and detailed for the installed capacity currently available to USAID.

Executive Summary: No mention of the fact that in 2005 alone USAID went through four significant revisions of the planning format. The latest version of the planning format made incorporating capacity building awkward, in particular by eliminating the budget allocations to IR2 and IR3. It is unclear how these results will be achieved if the format forces all budgets to be allocated to IR1.

Executive Summary: CI's activities have emphasized IR 2 & 3 to an extent that is not clearly acknowledged in the Executive Summary.

Pages 14-15: The assessment mentions the Tayna Center for Conservation Biology (TCCB) as an example of university training. We would like it to also include the development of the new Biodiversity Institute at the National University of Equatorial Guinea (UNGE).

Page 15: Accomplishments in GIS are an example of how the current planning and managing system encourages short-term results with limited sustainability and impact, but high visibility. The GIS data at UM is not ground truthed, and therefore is of limited reliability, and is not of much benefit to local institutions without the infrastructure in telecommunications required to access the data. Buying hardware and installing software is visible, but does not create long-term local capacity independent of foreign NGOs and should be discounted as a real accomplishment.

Page 29: The assessment states that only AWF has had success with subgrants to NGOS. We would like to call to your attention the fact that CI has provided significant subgrants to local NGOs such as TCCB, the community organizations under UGADEC and Vie Sauvage using international implementing NGO partners such as DFGFI and BCI as technical and administrative hubs on the ground.

Page 32: The assessment mentions the "striking exception of CI which is virtually not present in the region". On several occasions we explained that CI's approach to limit its staffing growth is the result of a global institutional strategy that primes the work with partners and the building of local capacities through significant funding transfers rather than the unsustainable expansion of its own operative structures. This approach is consistent with addressing the concerns stated elsewhere in the report about limited capacity building for local institutions, as well as their financial and institutional sustainability.

In all fairness, the report must also mention that at the time of the assessment, the key CI field position was vacant due to the relocation of the incumbent for family reasons. The new director has already been identified and should be in place by February-March 2006.

Page 35: The assessment says several times (also in the executive summary) that the presence of a long-term NGO presence is positively correlated with achievement of short-term benchmarks. While this may be true, the assessment also reports that established NGOs show “a preference...to use the talents and skills . . . of their own organization”. If NGOs do all the implementing they may also undermine local capacity by not allowing local institutions and agencies to play independent and responsible roles.

Page 35: The assessment suggests that funds can be bundled and go through the landscape leader without additional fees or overhead, but does not mention that CI is the only NGO that is already doing precisely that, through provisions in its existing NICRA agreement with USAID. By eliminating double dipping in overhead costs, this approach maximizes the resources going directly to the field.

Page 37: Strong agreement with the ineffectiveness of focal points. The hiring of Focal Points within NGOs may also affect the way they are perceived by other partners. As things stand now, it is difficult to differentiate them from the employees of the NGOs where they are embedded, and their fairness and objectivity may be perceived as compromised.

Page 39: Strong agreement that USAID has not provided sufficient management and technical capacity to play a supporting role given the scope of the undertaking. Instead, the Kinshasa office has often generated delaying bureaucracy and confusion. (For example, four versions of the planning and reporting matrix were requested from the implementing NGOs in a single year.)

Page 41: Working through established conservation partners is a sound strategy, but this approach strengthens the implementing NGO at least as much or more than the local government agencies, undermining the goal of building local capacity.

Page 44-45: Agreement with the assessment’s critic that the landscape unit as an implementation unit in “preparing and implementing landscape plans following an integrated land use planning process” has no fit to existing government structure and management, and is unlikely to have any attention after outside funding stops.

Page 45-46: Strong agreement with the assessment conclusion that the landscape approach has limited local buy-in and fits awkwardly with existing local management structures. This has also led to an awkward fit with capacity building when capacity building takes place at a country-scale outside the landscape. EG and DRC have both suffered from this by having their “country matrix” budgets, which included important capacity building activities, eliminated through what appeared to be an oversight.

Page 46: The assessment states that “However, program balance does not yet adequately address broader issues of program financial and institutional sustainability.” CI is addressing this through capacity building and trust funds. Unfortunately, a change in formats (and an apparent oversight) led to IR2 and IR3 activities being eliminated from the budget.

Page 47: The assessment recognizes TCCB as an example of capacity building outside of the landscape. This is incorrect. The TCCB is located within the landscape, but naturally not inside protected areas. UNGE would be a much better example for off-landscape capacity building.

Page 48: The assessment states that “Financial sustainability cannot be expected at this time but Implementing NGOs clearly need to be operating with institutional development plans that include a continuing reduction in the need for their presence”. We would like the assessment to recognize that CI’s strategic approach is specifically geared towards this outcome.

Page 51: The contributions from the NRM/Remote sensing activities have been limited and any interpretation of these data without significant groundtruthing would be of limited value.

Page 51: Focal points would be able to play a more important role in liaison with governments only if their capacity and stability is significantly improved.

Page 51: The recommendation to “Recognize and plan for a long term need to achieve program sustainability” is a valid one. However, to achieve this outcome, the report should suggest a revision of the existing program design that primes short-term (6-month) results over long term impact, and that undermines local responsibility by supporting and encouraging foreign NGOs to take an implementing role through concepts that do not match local structures (e.g. landscapes), often at the expense of longer-term capacity building focused on local institutions and existing structures.

Various: Please include the Dian Fossey Gorilla Fund International (DFGFI) in the List of Abbreviations and Dr. Patrick Mehlman (VP of DFGFI) in Annex C.

Mid-Term Assessment of CARPE II

Comments on Draft Final Report

Organization USFS International Programs

Contact Person Mike Chaveas, mchaveas@fs.fed.us, (202) 273 4744

Background and program history

The USFS is referred to as providing assistance on “landscape planning and forestry” (p. 3). To be clear, the assistance that the USFS is providing to USAID/CARPE and its partners is in the area of land use planning processes for the landscapes, but also for the different use zones within those landscapes; protected areas (including national parks management planning), community use zones, and extraction zones (not only forestry, but mining as well). Perhaps more appropriate and more descriptive, ‘US Forest Service: multiple use planning at the landscape scale addressing community use, protected area, and extractive zones’.

Throughout the document, reference is made to a lack of direct engagement with host country government agencies. To a reader who may not be familiar with the region, this point may stand out in the assessment as a glaring failure of CARPE. More background should be given on why the direct involvement of governments is limited in some countries, what the challenges are for such involvement.

Assessment of Program Performance

B. i. Page 13, 4th paragraph: talks about US Federal Agencies support to national institutions implying the limitations are specific to the US government agencies themselves. Limitations of host country government capacity, willingness, corruption at many levels are not cited as limitations to capacity building and should be to give a fair assessment of national capacity building.

Page 14 under Forest Concessions: should mention that USFS secured a USAID GDA grant to develop a reduced impact logging program for the Congo Basin. These funds were designed to be complementary to CARPE objectives.

Under section B, Capacity Building, the sub-heading of “national staff working at national level” (p. 14) describes government to government capacity building efforts, but fails to mention two key capacity building programs where the USFS has worked directly with host country government agencies:

In Gabon, the USFS has delivered three workshops (a fourth is occurring this week, Feb 6-10, 2006) on the creation and refinement of national park management plans, resulting in drafted plans for Lope and Loango National Parks which will serve as models for the other 11 NPs of Gabon. These workshops have also included training on the creation of annual workplans for these parks. These workshops were delivered directly to CNPN staff in Gabon.

In ROC, the USFS has sent two teams to provide GIS training to CNIAF, working with WRI and WCS, and to work on Information Needs Assessments and developing Protected Area landcover datasets.

Under “training in natural resources monitoring” (p. 15) the statement is made that “GIS software was provided to the Forestry School through the USFS”. This statement is not complete nor entirely correct. The USFS sponsored three grant requests of GIS software and hardware for distribution in Gabon from ESRI-USA (2 grants) and Leica Geosystems (1 grant), all of which were approved in full. ESRI-France also approved a USFS request for the French language package. This software and hardware was distributed to CNPN, WWF and WCS in Gabon, not to a Forestry School as the text indicates.

Only outlined what federal agencies did but didn't evaluate their performance or its appropriateness for the objectives.

Assessment of Management Structure and Performance

Federal Agencies: the last paragraph within this section implies all federal agencies activities are less than satisfactory; it would be far more useful to identify the weaknesses so those particular agencies know where to improve or can guide what agencies to keep. Referring to all federal agencies doesn't allow for targeted criticism.

Page 32, third bullet in Conclusions: USFWS are not providing their own earmarked funds, these funds came from CARPE and were transferred to USFWS because of Congressional pressure. These funds should be under the same rigor as USAID Funds. It is unfortunate this was not evaluated because it took money away from the agency that was trying to focus government monies specific to objectives. It is not clear that the USFWS earmarked funds will be as rigorous and targeted.

Assessment of Strategic Design

Page 42. Not sure can agree with the assumption that unsustainable forest exploitation can be regulated by policy – China is a heavy hitter in the region and is not under certification pressure as are European companies. There is not a level playing field when government forestry institutions are not transparent or under international scrutiny. Pressure should be put on national governments to enforce standards in their forestry operations so all companies must abide to the same regulation. No one within CARPE is addressing this issue.

Section D, the first bullet under Conclusions (p. 47) states that the USFS impact has been primarily in building NGO's capacity rather than on Water and Forest departments or National Parks Agencies. This is not an accurate statement, as a significant piece of our success to date has come in regards to boosting the capacity of Gabonese Parks Council (CNP) staff (both Libreville based management staff and the conservators of individual parks) in regards to understanding management planning processes for protected areas and in the creation of management plans. While we are working more directly with NGOs in DRC, where government capacity and presence is lacking, this is not true across the region. The attempt is to outline templates for land use planning and do it with cooperative partners to be able to identify the necessary planning steps specific to the Basin.

Recommendations for the Optimization of CARPE

Under "Improve Landscape Performance" (p. 50) the last sentence of 2nd paragraph lists the diversity of skills needed within implementing NGOs. Management skills are not listed.

Under "...Cross cutting program components" (p. 50), the recommendation is made that leads would be responsible for activities outside of landscapes. Should they not also be responsible for recommendations and coordinations between landscapes?

Bushmeat (p. 51): The recommendations seem to focus on the supply side of the issue only, without any recommendations for addressing the demand side in large regional towns that serve as markets for commercial bushmeat hunting.

Under "Improved program management" (p. 52) the recommendation is made that USAID/CARPE staff should be bolstered, but there is no recommendation for removing the cap of \$1 million that can be spent on program management.

The first bullet of "Recognize plan for long term need to achieve program sustainability" (p. 54) suggest an exit or scale down strategy for the international NGOs as CARPE II progresses. However, I think it's safe to assume that these NGOs will be on these landscapes after CARPE ends.

There is a reference in the Exec Summary as well as this section that CARPE should focus less attention on parks and more on threats and opportunities in forest concessions and communities. In principle, the assumption may be right but it would be better to suggest that landscapes focus on where the most prevalent and urgent threats are, regardless of their location. This also should be said for what types of partners should work on a landscape. The report sometimes implies that there should be a diversity of partners. This diversity should directly respond to the most pressing landscape issues.

From: JPielemeie@aol.com

Sent: Friday, February 03, 2006 5:07 PM

To: vletelier@weidemannassoc.com; fsowers@verizon.net; cstoney@winrock.org

Subject: Fwd: CARPE mid-term evaluation: Draft Report Feedback

In a message dated 2/3/2006 4:59:55 P.M. Eastern Standard Time, Rudy_DAlessandro@nps.gov writes:

John -

Responding for NPS, I have the following edits to Annex 6 - CARPE Budget by Partner:

Year 3 funding from USAID to NPS is just \$25,000, bringing our USAID total to \$75,000. By our calculations, in-kind contributions (for salaries) and donations of NPS surplus equipment & supplies totalled an additional \$30,000. Thus the Total amounts for NPS should read: USAID = \$75,000; Match Funds = \$30,000.

sincerely,
Rudy

Rudy D'Alessandro
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Mid-Term Assessment of CARPE II

Comments on Draft Final Report

Organization ___Smithsonian Institution/Missouri Botanical Garden (SI/MBG)___

Contact Person _____Alfonso Alonso aalonso@si.edu Tel. 202-633-4780_____

Overall Comments:

Putting together a report like this is an enormous job, and the review team should be congratulated on your effort. As such, a longer period to review the document should have been granted.

It seems like as if SI/MBG were at a disadvantage not only from being relatively new to CARPE but also from being interviewed early and providing input on an issue that is controversial within CARPE, namely biodiversity. We suspect that our comments got submerged in the vast amount of information that the review team obtained subsequently, and thus it is not represented in the report.

The review team indirectly criticizes the SI/MBG "track record" vs. other cross-cutters. Evidently, the team is not aware of the response received from landscape leaders to our services, and the findings recorded in our reports (e.g. Gabon Monts de Cristal, in both English and French, Nouabale-Ndoki National Park report, in both English and French, Cameroon SE timber certification, Cameroon Lac Lobeke monitoring, Monte Mitra Multi-Taxa Assessment, and SI/MBG FY 04 and FY05 workshop reports; all submitted to CARPE headquarters, and one attached as a reference). We thus feel that the review team has not sufficiently emphasized the importance of the SI/MBG contribution to biodiversity, forest monitoring and ground-truthing, nor our large and on-going efforts to train landscape biodiversity teams and to establish long-term support for their activities. Also, the review team apparently does not recommend SI/MBG for future funding, and fails to consider the implications of removing CARPE's biodiversity component, especially as this relates to progress on the SO.

It is also pertinent to mention that SI/MBG came new to CARPE in Phase 2 as biodiversity organizations, partly because the evaluation report on Phase 1 identified a large gap in CARPE and regional capacity to inventory and monitor biodiversity, an essential on-going core activity of sustainable forest management. It has taken us a while to discover how we can best contribute to CARPE, but the reports, especially from FY 05 showed that we have made big advances and are developing a niche that is helping CARPE to greatly improve performance in biodiversity conservation and monitoring.

The Phase 1 review noted that CARPE was very weak in biodiversity expertise, and recommended that the SI and the MBG join CARPE as biodiversity organizations, to balance the big NGO's with a focus in megafauna. We joined, and in two years of partnership in CARPE we have made great strides in adding a biodiversity component to the program, helping to support the statement in the report that "CARPE is on-track to protecting biodiversity." Biodiversity is important to CARPE because of the emphasis placed on it by Congress through the SO.

We are also very surprised that the review team failed to identify the importance of biodiversity to the CARPE program, especially as this was raised as a specific concern in the Phase 1 review. In our opinion as biodiversity experts, the establishment of biodiversity inventory and forest monitoring as a cross cutting activity led by SI/MBG is central to achieving the CARPE SO, and biodiversity needs to be much better integrated into the overall program, especially through the adoption of a credible basin-wide approach to biodiversity inventory, monitoring and conservation within landscapes, and the establishment of quantitative benchmarks for biodiversity inventory at the landscape level. Please find attached a recent SI report that shows the importance of the work that we are accomplishing.

Please correct SI name: Smithsonian Institution

It is appealing to read how much you thank technical advisor for Gamba when you and Carol Stoney knew that he purposely blocked SI from that meeting and used our lab and resources for his benefit. One thing is to be polite but the other is to ignore proven facts. Please rewrite that portion of the acknowledgements.

Background and program history

Clarification: the 11 landscape approach did not come out of the WWF Libreville workshop. This workshop simply gathered a large number of people together to identify priority conservation areas. Many of the highest priority areas for forest biodiversity were near the coast of Cameroon for example, and these are not included in any CARPE

landscape. The 11 landscape selection was more political than biological, selecting large, remote tracts of land where the large NGO's felt they could best implement megafauna protection.

Assessment of Program Performance

We agree with much of what the report says, however, we do not think that the review team gave a balanced consideration to all partners involved. Most of the examples, by nature of their site visits, come from WWF or organizations with an office in Kinshasa. The lack of strong mentioning of SI/MBG mean that the team was not fully informed. We recommend for the team to pick more representative examples.

We do not agree with the review team's statements that landscapes are on-track with biodiversity inventory. It is certainly true that there are impressive megafauna monitoring efforts underway, but for the tens of thousands of other species we are not aware of any coordinated, structured inventory and monitoring outside of the SI/MBG program.

The CARPE landscapes are very large and contain estimated tens of thousands of species of plants and animals, many listed as rare, vulnerable, threatened, endangered, insufficiently known, or new to science. The identification and conservation of these species is central to the SO, and is also required through other US laws such as NEPA. In two years SI/MBG have been starting to establish a credible approach to biodiversity, focused on plants and vegetation, which are much better indicators of biodiversity conservation value than megafauna. We are laying the basis for the long-term inventory and monitoring needed to create the coarse scale zoning and the subsequent management within these zones, much of which will require a strong biodiversity conservation component.

Assessment of Management Structure and Performance

We agree with the report that the market based idea of cross-cutting activities has failed, not in principle but in its implementation. The big NGO's that received most of the funding have their budgets allocated and thus had trouble redirecting funds to cross-cutting activities. The organizations cited as successful in the report have a long CARPE funding presence that gave them more flexibility. We have been unfairly evaluated against longer-funded players, who have at times, significantly larger funding. SI/MBG thus should be included in the groups for continued funding since we have proven evidence that landscape leaders "demand" our services, they just had their budgets planned for other activities and thus hard to redirect.

Recommendations for the Optimization of CARPE

The main issue with the report is that it only puts forward four activities which should be the focus of the next funding round of CARPE: capacity building, policy, bushmeat, and remote sensing. It is argued that "completion of biodiversity and socio-economic analyses coupled with several years of on-the-ground experience should enable landscape partners to identify the key threats and focus their work plans on addressing those threats." The work that needs to be done to address these threats is far from complete!

It is argued that CARPE has enough information to continue with their goals. A very clear explanation on how they know that to be the case needs to be presented in the document.

CARPE is hardly addressing the root cause of forest degradation – deforestation along roads and near settlements – and sustainable forest management does not reduce forest degradation per se, since it contains both economic and ecological components that need to be balanced. For example, a common silviculture technique to improve timber yields and reduce logging damage is through the removal of lianas, and our research has shown that these make a great contribution to the diversity of the African forest canopy. Sustainable forest management should continue to be a focus of CARPE and should be lead by SI/MBG.

The other big component that needs to be incorporated is on the ground biodiversity monitoring. How do you know that policies and actions are being successful? To achieve biodiversity conservation, a credible inventory of the biodiversity precedes zoning, and biodiversity monitoring is part of the on-going core program. In the limited approach for megafauna protection, the biodiversity inventory is largely limited to megafauna and its habitat and zoning does not accommodate other biodiversity. CARPE is currently mostly focused on implementing the latter approach. Although the disconnect between megafauna protection and biodiversity conservation is globally recognized, there are at least three studies in the CARPE area that demonstrate that large protected areas alone do not protect the biodiversity of a landscape. These are a SI studies in the Gamba Complex, a PhD thesis on Campo-Ma'an by Peguy Tchouto, and

detailed floristic studies on Mount Cameroon. All of these studies found important biodiversity outside the existing protected areas. All these studies support biodiversity inventory and monitoring as an integral and on-going part of landscape management, and not an activity that ceases when the zoning begins.

Our contribution is to introduce landscape-scale biodiversity inventory and monitoring as an on-going component of land use planning, through field missions, training and capacity-building. We are also building network capacity to enable landscape managers to access and use the data, and for the information to be used for ground-truthing in landscape-scale vegetation monitoring.

Mid-Term Assessment of CARPE II

Comments on Draft Final Report

Organization: UMD/NASA

Contact Person: Chris Justice (Washington) / Didier Devers (Kinshasa)

CARPE is complex and has always been a unique project within USAID, with multiple partners from diverse and distributed organizations with different expertise, roles and responsibilities making it difficult to evaluate. There is a steep learning curve and the assessment team should be congratulated on their report. The report is well constructed, shows good insight and identifies some of the more critical issues facing CARPE II and makes some useful recommendations.

The evaluation report should however include a caveat. It is hard for the report to adequately convey the enormous difficulties of working in this particular region, the lack of national and local capacity and infrastructure, the size of the landscapes and the paucity of data and information and the incredible effort and length of time needed to effect any sustained change. What in the US would be routine, relatively cheap and easily executed tasks, can often be extremely arduous, expensive and time consuming in this region. The personal dedication and commitment of the CARPE field staff cannot be overstated.

The assessment focuses on organizational issues and process and raises some important issues which the CARPE partners need to resolve. However, there are three issues which I believe are critical to the next phase of CARPE which were missing or insufficiently addressed.

- **The need for improvement in the systematic data collection, management, open sharing and dissemination of the data and information collected by CARPE partners.**
- **The strategic importance of the international State of the Forest (SOF) reporting process and the critical role of the CARPE landscapes in this activity.**
- **The current precarious status of US satellite assets for monitoring the Congo Basin Forests, the need for coordination of the international assets and the role of the Observatoire Satellital de la Foret d’Afrique Central (OSFAC).**

Aspects of these issues are relevant to sections II, III, and IV below. There are also some concerns about the potential project responses to the recommendations in section V.

- a) The general lack of information associated with the landscapes and heterogeneity of central Africa in general, gives emphasis to the need for the collection of primary data and information. Given the large investments associated with data collection in this region, it is important that as much use is made of the data as possible and that the data collected now are managed so that they can be used in the future to examine trends. In this respect a higher priority must be given to data management, access and dissemination. In CARPE I, a low priority was given to this aspect of the program due to budget constraints. With the increasing sums of money being spent on data collection, some investment and a serious commitment is urgently needed on data management and dissemination by the landscape partners. It was suggested at the outset of CARPE II that each landscape and partner identify an Information Officer responsible for managing and disseminating data and information with a minimum of overhead. This should now be implemented and the information officers should communicate to agree on data format and metadata standards and discuss data collection methodologies and protocols. A distributed approach to data management is suggested recognizing that technical support and backstopping can be provided through existing cross cutting partners. The CARPE Web Site and CARPE Mapper are resources which partners can use for data and information dissemination. Alternative approaches to data dissemination for partners with no internet connectivity are available. A discussion of the need for data sharing between partners and the broader community in the evaluation is a serious omission. Additionally, the CARPE Web Site is one of the primary outreach tools for the project, and the CARPE the landscape

information officers and partners need to be more proactive, making regular contributions, providing reports and significant results for dissemination.

- b) The State of the Forest process is extremely important for CARPE II and the future sustained monitoring of the Congo Basin Forests. The purpose of the State of the Forest Report is to summarize periodically the most recent findings and understanding of the state and utilization of the forest and its associated human and wildlife populations and biodiversity and the socio-economic and physical changes taking place. The State of the Forest report will also serve as a catalyst for data standardization, data management, and, eventually, data dissemination. The report is intended for multiple audiences but is targeted at this time at national and regional resource and development agency managers and policy makers. Clearly information contained in such an assessment can be packaged for raising broader public awareness. In the process of developing the 2005 report it was recognized that the CARPE project is just one of a number of large regional programs and national initiatives addressing this general topic and that an international assessment in the framework of the CBFP is highly desirable and unique in this region. It was also recognized that there is an urgent need to move beyond anecdotal description of local conditions or processes to quantitative and representative measurement of trends. It was recognized that in the longer term COMIFAC would be the logical institutional home for such an assessment and the associated sustained monitoring of the forests is of direct interest at the regional and national levels. The State of the Forest process and putting in place the associated monitoring systems, is as important as the reports themselves. The process which has gained broad international support is currently focusing on identifying the appropriate and practical indicators and the associated data collection needs. CARPE has been a partner in developing the SOF process and will need to continue to be active in refining and periodically updating the indicators. The Landscape partners will need to be the primary source for the CARPE findings and understanding to the SOF reporting. It should be noted that with the current program reporting procedures for the CARPE, it is extremely hard to extract significant results and findings and the supporting data and that this needs to be resolved with some urgency.
- c) Satellite remote sensing and GIS are no more than tools for monitoring and analysis but are particularly important for CARPE given the geographic extent of the region and spatially explicit nature of resource management. It should be noted that use of satellite data is most effective when combined with ground-based field measurements. The workhorse for forest monitoring by satellite in this region has been the NASA Landsat system. Since the beginning of the CARPE program, NASA resources have been leveraged to provide data for the Basin to CARPE and international partners alike. The situation is different for other international assets and partners which have been unable to share data, as they are constrained by commercial interests and copyright. The current instrument Landsat 7 malfunctioned in 2003 resulting in limited utility of the data. With support from NASA, UMD has been acquiring data for use by the Project from alternative data sources i.e. ASTER and MODIS. NASA and the USGS are now embarking on a project to compile a mid-decadal global data set (2004-2006 epoch). This initiative includes participation of international partners including the possibility of Landsat 5 acquisition from an antenna in Malindi. This will be an important USG contribution to CARPE and CBFP alike. On December 23rd 2005 NASA was charged by OSTP, with developing and launching a Landsat Continuity Mission which hopefully will provide data through 2012 to enable the long term monitoring of forest trends. Other countries have satellites which could provide data for monitoring the Congo Basin Forests e.g. India, Argentina, Brazil, China. The case for international coordination of satellite monitoring is being made by OSFAC through the international GOF/GOLD program. OSFAC also plays an important role in distributing satellite data to national agencies and organizations, coordinating training workshops and through a regional network of national points of contact is documenting satellite monitoring projects in the region. CARPE has developed close partnership with the EU FORAF program in the area of satellite forest monitoring and training.

How the evaluation recommendations are responded to will be extremely important to the continued effectiveness of the program. There are two examples which come to mind:

- i) The success of CARPE I was largely a result of allowing the CARPE partners to self organize through periodic meetings of the Strategic Objective Team, which consisted of the partner leads. In CARPE II the large increase in geographic scope and management responsibilities has meant that the Landscapes leads

have been consumed with internal landscape implementation issues and reporting with little time or priority for CARPE Project wide organization. So that there is not a disconnect between design and implementation, the CARPE II redesign team recommended in the evaluation must include the landscape and crosscut leads and consist of individuals intimately familiar with the realities of the region. Similarly the newly recommended support service contract personnel will need close and frequent communication with the various landscape and cross cutting leads.

- ii) The landscapes are essentially a NGO construct and there is both strength and weakness in the current disconnect between the landscapes and national or local authority and jurisdiction. The weaknesses being clearly singled out by the evaluation. The evaluation recommends that the landscape boundaries be more theoretical and flexible. If the boundaries are loosely defined and ever changing, then the current approach for reporting landscape statistics will need to be changed also.

Mid-Term Assessment of CARPE II

Comments on Draft Final Report

Organization: Wildlife Conservation Society

Contact Person: Jefferson Hall (jhall@wcs.org) or James Deutsch (jdeutsch@wcs.org)

Overall Comments and Major Issues

As requested, we provide detailed comments and corrections below referencing each section of the report. We would like, however, first to highlight four overall comments which we believe to be of particular importance:

First, we congratulate the review team on the extraordinary accuracy and depth of their report, and we wish to state that we support the vast majority of the observations and recommendations contained therein. Just as the active involvement of the CTO in implementation of CARPE through his advice to CARPE partners has been invaluable and much-appreciated by the NGOs (as noted in the report), so much of the advice in the report will be immensely useful not only in designing the next phase of the program but to the NGOs themselves in improving the effectiveness of their implementation.

Second, we would like to point out that we believe the issues of the choice of and role of Landscape Leads to be vitally important. Landscape Leads were selected rapidly in March 2003 in response to the CTO's request for an individual and organization to coordinate discussions of approaches in each landscape prior to the beginning of the CARPE II implementation itself. At the time, the CTO stated that this function would be the limit of the Landscape Lead's responsibilities. Leads were chosen in some cases based on individuals' access during that month to electronic communications or rapid negotiation between available CARPE partners, rather than a considered effort to identify the NGOs most capable of carrying out the much wider roles of landscape planning and subcontracting now envisaged for Landscape Leads. We therefore recommend that the CTO now be empowered to assess the capacity and effectiveness of each Landscape Lead for this larger role. Where a particular Landscape Lead does not have a physical presence in the Landscape or where the CTO judges that the Landscape Lead does not have the capacity and experience to fulfill the role effectively, we recommend that the CTO be empowered to select an alternative Landscape Lead.

We would not support the proposal -- Option A on page 50 and in the Executive Summary -- that all Landscape funding be channeled through the Landscape Leads. Our experience of partnership amongst the four Lead NGOs (AWF, CI, WCS, and WWF) during both CARPE and other programs has shown that none of these NGOs has the legal and administrative capacity to negotiate and execute USAID subcontracts rapidly. Thus, structuring CARPE according to this proposal would result in delays of a year or more in implementing activities in some of the Landscapes. We believe that efficiency requires maintaining the current system of direct granting of USAID funds to each of AWF, CI, WCS, and WWF where one or more of these NGOs is working under the Landscape Lead of another.

Option B on page 50 (and in the Executive Summary), requiring formal approval from Landscape Leads of other NGO workplans and budgets within the Landscapes has already been partially implemented by the CTO. This can be effective if two pre-conditions are met: 1) the Landscape Lead has the expertise, experience, and on the ground presence to fulfill this role wisely, and 2) some kind of appeal mechanism is available -- probably to the CTO -- where disagreements are not readily reconciled.

We would recommend that Landscape Leads be required and assisted by USAID to formally convene all partners in the Landscape at least once a year, coordinated with the USAID workplanning and budgeting cycle, to plan and agree work by each partner. Continued serving as Landscape Lead should be conditional on effectively carrying out this role.

Third, we appreciate the aspiration of CBFP and CARPE to achieve conservation and sustainable development across the vast area of the 11 CBFP landscapes, comprising 36% of the Congo Basin land area. In some Landscapes, where

substantial other funds are becoming available and threats and constraints are limited, we believe this goal is achievable. In circumstances where resources are more limited and threats more severe, however, we believe that evenly distributing CARPE effort across Landscapes risks accomplishing little or nothing. Nor is the statement of the review team that substantial additional funds are available for protected area management accurate across the subregion. While funders such as the GEF and ECOFAC are poised to invest resources in some protected areas, for the majority of protected areas in the subregion CARPE remains the largest source of funds and the total funding level is and is likely to remain inadequate to provide for truly successful protected area management. These considerations justify the NGO's decision to focus our efforts initially on protected areas and to continue this focus in some Landscapes into the future. Thus, we strongly advise that drive to spread CARPE activities out of protected areas into the surrounding Landscapes be implemented flexibly depending on the circumstances in each Landscape.

Fourth, WCS believes that filling in of the PMP is not an adequate measure of the quality or effectiveness of landscape management at each CARPE-CBFP landscape. Indeed, we assume that this is why the CTO has personally visited most landscapes. At the beginning of the current phase of CARPE, the CTO stated that some re-allocation of resources would occur during the course of the three years on the basis of the quality and effectiveness of work at each site, and indeed this has occurred to some degree between year 2 and year 3 of the current phase. WCS applauds this adaptive management and results-oriented approach, and would support empowering the CTO further to re-allocate funds based on effectiveness.

Specific Comments

B. Acknowledgements

Please ensure that Jean-Remy Makana's name is spelled correctly.

C. Acronyms

Please add:

CEFRECOF, Centre de Formation et de Recherche en Conservation Forestière

CIB, Congolais Industrielle du Bois

CTFS, Center for Tropical Forest Science

CITIES, Convention on the International Trade of Endangered Species

ENRA, Enzyme Refiner's Association

ICCN, Institut Congolais pour la Conservation de la Nature

MIKE, Monitoring the Illegal Killing of Elephants

SOF, State of the Forest

Background and program history

a. Throughout the document there is reference made to NGOs' competitiveness and the stresses of collaboration. We recognize this and largely agree. One area where we feel the record is not accurately presented is on page 3, paragraph 2. The review infers that USAID may have been surprised to have only received one application for each landscape as opposed to having been presented with different proposals for each landscape. In fact, USAID strongly suggested that it expected only one application per landscape and that the NGOs should get together to decide amongst themselves landscape leadership. This actually represents extraordinary cooperation and collaboration among NGOs.

Assessment of Program Performance

a. WCS supports the idea of having a Landscape Leader with limited power comprising consolidation of workplans and reports submission to CARPE. Giving more power - especially over budgets - to the Landscape Leader will not solve the problem of poor coordination among Landscape Leaders. On the contrary this will exacerbate current conflicts, especially in the case where conflicts arise because of differences in conservation approaches and vision. We believe that the Ls Leader should be a facilitator rather than a Ls manager. With NGOs competing for funds, there is little hope that giving more power to the Ls leader is the solution to conflict arising, because some NGOs believe the leader has already too much power. Channeling all funds through the Landscape Leader will not only give the Ls

leader overwork but also increase conflicts between partners. We should therefore keep “USAID’s practice of segmenting landscape funding rather than channeling all funds through the Ls lead organization”.

b. Table 1. Under Landscape 2 (Gamba Conkouati), segment 2, WCS Gabon, Mayumba and Iguela are listed. Mayumba is a national park and Iguela is a site within Loango National Park. This should probably be changed to Mayumba and Loango NPs

c. Table 1. Under Landscape 10, WCS also works in Maiko National Park (over 200K a year CARPE funds). In addition, to the extent that Landscape boundaries are not “Berlin walls” and are flexible (as recommended in the document), WCS has spent significant USAID (Gorilla Directive) and USFWS funds working towards the development of a Community Conservation Reserve in the Itombwe Forest. This has been an extraordinary USAID success story in community conservation that seems to be ignored – perhaps because of the fact that the work was undertaken with USAID Gorilla Directive Funds.

d. Table 1. There is no assessment of Quality. This comment is applicable throughout the document. Assessment of performance is largely limited to filling in boxes within the PMP. MOVs (Means of Verification) are presented to CARPE by the NGOs but these can only give a partial assessment of the quality of the work undertaken – particularly as NGOs put their best foot forward. The CTO makes site visits and has some understanding of quality but nowhere is it reported systematically and publicly. This is particularly important, as the NGOs have always been led to believe that the CTO had the authority – and would use it – to reprogram funds in part based on the quality of the work. He does seem to have done this in year 3 when evaluating budget cuts.

e. In the Maiko-Tayna-Kahuzi Biega Landscape, the Landscape Lead (CI) has no implementing activities on the ground or presence in the Landscape or the country. As a result, the de facto Landscape Leader on the ground (Diane Fossey Gorilla Fund International) is a sub-recipient that does not have a cooperative agreement with CARPE or the experience or capacity to carry out this role effectively. This is also a source of conflict. WCS recommends that activities on the ground should be a prerequisite for Landscape leadership.

f. Page 7, paragraph 3, narrative reports also highlight major successes – of which there are many. We should avoid focusing on the negative.

g. Page 7, Conclusions, While they may be linked to protected areas, socio-economic surveys are conducted outside protected areas. This is one way that NGOs that seem to be only working within protected areas are indeed working outside protected areas. As WCS has explained to the CTO, we report this under the protected areas category of the PMP in Gabon, for example, in a large part because we do not as yet have the mandate to work outside protected areas (for reasons well known to the CTO). The CTO has thanked WCS for this explanation.

h. Page 7, Conclusions, It is important to note that simultaneous implementation activities while working towards convening a landscape planning process and adopting management plans has been agreed upon by the CTO. The reason for doing so is to assure that there is something left to conserve once management plans are finally adopted.

i. Sub grants should only be granted by the NGO lead in landscapes where there are 2 or 3 implementing partners. This will certainly reduce time for reporting. On the other hand, this will increase the NGO lead work.

j. Page 11, Capacity Building. In general there seems to be an under appreciation of the Smithsonian Institution’s activities as a crosscutting program. While it is up to the Smithsonian to comment and justify their activities, it may well be that their closest relationship has been with WCS. WCS does agree that some of what they have done has seemed to lack a strategic vision and does not fit well within the PMP. However, WCS has had a longstanding relationship with them that has been important. Please see below with reference to CTFS. Corneille Ewango, the 2005 recipient of the Goldman Environmental Prize (one of the most prestigious environmental prizes), is a product of the WCS – CTFS (Smithsonian) collaboration. In addition, Smithsonian has been the leader in developing REBAC (the Central African Botanists Network of Le Réseau des botanistes d’Afrique Centrale). REBAC was created in 1999 with CARPE funding and was highlighted in a box in the Summary Report of the State of the Congo (the glossy version that was widely distributed). This has been an extraordinarily important capacity building activity that is also

important for biodiversity monitoring. The strategic vision of linking national researchers with international researchers has been explicitly outlined by WCS conservationists in published articles in *Conservation Biology* (available upon request). While REBAC is noted on page 14, we raise this larger issue here.

Many additional and substantial capacity building activities in CBFP landscapes have been carried out by the NGOs, including, for example, joint WCS-WWF training of wardens and eco-guards carried out for all of Gabon in the Gamba Landscape with Moore Foundation funds and the constructions and funding of a national training centre for wardens, eco-guards, and biologists at Lope Chaillu Landscape by WCS with funds from Total, the EU, and WCS private donors. An additional example, CEFRECOF in the Ituri Landscape, is discussed below.

k. Forest concessions. We would like to add a paragraph under this section: “In Ituri Ls, WCS is working with ENRA to control forest invasion by farmers in ENRA concession and to improve forest inventories and inventory techniques (SI/MAB sub-contract) in order to promote sustainable forest management practices”.

l. Page 15

WCS appreciates your reference to the Training Center in the Ituri Forest (CEFRECOF). The Centre de Formation et de Recherche en Conservation Forestière (CEFRECOF) is managed by WCS under a Memorandum of Understanding (MOU) between the ICCN (Institut Congolais pour la Conservation de la Nature, DRC’s semi-autonomous Park’s Authority) and WCS. CEFRECOF was built in large part with USAID funds in the 1990s to serve as a field station and training center that could 1) host both national and international visiting scientists, 2) host field courses from the University of Kisangani’s Department of Conservation Biology and, 3) host training sessions for the ICCN and other government institutions on protected areas management and conducting biological surveys. It has been used for all of these purposes. A generation of Congolese protected areas managers and conservation biologists has passed through CEFRECOF. The University of Kisangani, which has an outstanding record of training Congolese in advanced degrees in Natural Resources Management, has held regular training courses here (only partially entrusted by the war in DRC). CEFRECOF has also hosted numerous national and international researchers and boasts a number Master’s and PhD Theses. In addition, CEFRECOF is also part of the Smithsonian Institution’s Center for Tropical Forest Science (CTFS) forest dynamics (also known as the large plot) network. This network links 17 plots across the tropics and was set up to understand natural forest dynamics in order to inform forest management. It is for this reason that WCS was subcontracted by the Smithsonian Institution to undertake work in the ENRA (Enzyme Refiner’s Association) timber company’s logging concession. The Ituri Forest plots are an extraordinarily important component of the CTFS network and research has forest management implications across Central Africa. We feel that it is unfortunate that USAID seems to have lost its institutional knowledge in reference to its own relationship with the creation of CEFRECOF – one that USAID should be proud of. We also fear that neither the Smithsonian nor WCS has done an adequate job of articulating how the long-standing CTFS research program fits into an extremely important crosscutting framework for forest management.

m. Page 16, Natural Resource Monitoring, WCS notes that the review team recognizes a lack of agreement on field based (as opposed to remote sensed) monitoring. However, we feel that an extraordinarily important program, the CITIES (Convention on the International Trade of Endangered Species) mandated MIKE (Monitoring the Illegal Killing of Elephants) program has been overlooked. MIKE survey methodology has been employed throughout most CARPE Landscapes in order to gain an understanding of the distribution and relative abundance of large mammals, including elephants. It has been the key component in informing the recent meeting among Central African Protected Area Authority Directors (held in Yaounde, Cameroon) to develop a strategy for protecting elephants in Central Africa. It has also informed the SOF (State of the Forest) process. The MIKE program is highlighted in the SOF Summary Report (referenced above).

n. Page 17. We should appreciate it being noted that WCS is a founding member of the Conservation Finance Alliance and has been working throughout the Congo Basin (and beyond) on sustainable financing.

o. Page 17, WCS has played a very important role in Forestry Policy. A number of WCS staff contributed to the WB Forest sector review document for DRC that is currently in draft form (and has been for 1 and ½ years). This is a major policy reform document in DRC and is the basis upon which WCS DRC Country Director LED the other NGOs

to get a letter written to President Kabila in support of the Forestry Code in DRC. It is a recognition of NGO collaboration that the CARPE review team cites this letter (page 31) in the document as coming from all NGOs.

p. Page 21. WCS has been mentoring a locally based NGO in Gabon (ASF, Aventure Sans Frontier) – through its NY based NGO mentorship program for 5 years. ASF plays a leadership role in conservation in Gabon, particularly in coastal management activities. WCS also has its own NY based small grants program that provides funding for African researchers.

q. Page 25, Gabon has 13 new National Parks.

Assessment of Management Structure and Performance

a. Page 34, At the risk of appearing to manifest lack of cooperation among NGOs, it is worth pointing out that CI did not work on the ground in Central Africa before the US led CBFPP. This is important to note with reference to evaluating success – particularly since the CARPE review team points out that the most successful programs based where NGOs have experience and have been on the ground for some time.

Assessment of Strategic Design

a. On Page 43, paragraph 3, the CARPE Review Team suggests that a rebalancing of funds both between landscapes and within landscapes to other activities is possible without hurting the overall objectives of the program. The CARPE review team has said in conversations that they feel there is adequate funding for protected areas from a variety of sources. WCS feels that this is simply not true. In fact, CARPE funding is essential for protected areas management. We are unaware of a single protected area within Central Africa that is adequately funded. Most still have extraordinary funding gaps. There may be the ability for modest reprogramming of funds but any significant shift in funding risks a collapse of protected areas. While we all hope that governments will one day be able to adequately fund these areas on their own, this day is still a long way off. We are reminded that while these areas are critical to the development and well being of citizens within the country within which they are located, these areas are also internationally critically important for the suite of benefits they provide.

Recommendations for the Optimization of CARPE

a. The report suggested a shift from protected areas to areas outside protected areas. This shift implies that 1) Coordination with national governments is a reality and 2) CARPE has, at this stage, met one of its priorities “help countries develop a network of effectively managed national parks, protected areas and corridors”. We do not believe it would be accurate to state at the end of the current phase, in 2006, that the protected areas in which CARPE partners have been working are now “effectively managed”.

b. WCS believes that it is important for CARPE to develop clear relationship with national governments. Working outside protected areas will require close relationship with local governments who are in charge of natural resources management in areas outside PAs. Evidence has shown that there is a complete lack of capacity at that level. Changes expected from the new Code Forestier and the new Nature Conservation Law in DRC, for example, will not have a positive impact if building capacity within the government structures is not a clear and specific objective of the CARPE program.

c. There is a clear case where the Government has cooperated in areas outside PAs in Itombwe massif where WCS and WWF are supporting the creation of a community reserve. The two NGOs and other stakeholders (local chiefs) are working directly with the Ministry of Environment, Conservation de la Nature, Eaux et Forêts to create the Itombwe Community Reserve. A Working Group (WG) that parallels the PA’s CoCoSi has been created by the Government.

d. WCS recommends that the CARPE focal point should be full CARPE staff and should be independent of any single NGO (WWF in many countries, WCS in ROC). This will give more credit to his/her involvement in landscape activities.

WRI Comments on Draft Report of the CARPE II Mid-Term Assessment

The draft report of the CARPE II mid-term assessment provides a comprehensive review of partner initiatives/activities during the first three years of CARPE II and a good overview of performance and accomplishments to date. Given the complexity of CARPE, the number of participating US partners and African collaborators, the diversity of activities and investments, and the difficulty of operating in Central Africa, the assessment team did an outstanding job: capturing the principal achievements; recognizing both useful and less effective work; identifying some critical issues that need targeted attention; and developing options and recommendations to help ensure CARPE II meets its ambitious goals/objectives.

- The report notes the importance of capacity building to achieve the three IRs and the institutional strengthening work of some partners. It recognizes WRI-IGP's support to local policy-focused NGOs and civil society organization networks (principally in Cameroon, such as NESDA, but also neighboring Gabon, Congo, DRC) as well as to the parliament in Cameroon, some select committees (and the new environmental caucus), as well as individual legislators who represent CARPE-relevant constituencies. WRI-IGP has also worked closely with and supported individual policy analysts (independent researchers and analysts in local/international organizations); legislators in the sub-region; ministries and government departments; and local government leaders from several Central African nations.

The report also recognizes WRI-GFW training activities in monitoring and the need to further such efforts. Remote sensing technology is used in the sub-region to: monitor forest cover, area and change; assess logging activities within and outside timber concessions (especially in Cameroon, Congo); and support proper delimitations of forest concessions and protected areas. In this regard, the report should make specific reference to WRI-GFW efforts to provide up-to-date user-friendly information on forest resources at both the national (such as through the Interactive Forest Atlas of Cameroon) and sub-regional levels (COMIFAC, CEFDHAC). In addition to publishing reports of its findings/recommendations, WRI helps build the capacity of local and international NGOs, civil society organizations, Forest Ministry technicians and managers, local government representatives, and parliamentarians in Cameroon. These activities build various technical skills, provide new tools for better decision-making, raise awareness of forest conditions/trends, and promote government accountability. WRI-GFW also participates and occasionally contributes to regional remote sensing, GIS and mapping initiatives.

- As noted in the report, improving coordination and promoting collaboration of landscape partners and between landscape and cross-cutting partners will strengthen CARPE and increase the likelihood of success. The lack of collaboration between landscape and cross-cutting partners is due partly to different interests and expertise - with landscape partners focused on biodiversity conservation and park management, and cross-cutting partners emphasizing governance/policy matters and developing tools to support decision-making processes. The lack of collaboration is particularly problematic for achieving landscape-level results and for ensuring long-term CARPE affects. There are some notable collaborative efforts among CARPE partners, such as in the preparation of the State of the Forests Report. In addition, WRI, IUCN, and IFIA (Inter-African Forest Industry Association, a private forest industry interest organization, including logging/wood processing companies in Africa) are working together to design (and soon, implement) a forest concession monitoring system for Central Africa (FSC-style certification). CARPE partner collaboration to improve the behavior and practices of the private sector is particularly rare.

The report notes the disconnect between CARPE landscape boundaries and local administrative jurisdictions which may contribute to the limited role/involvement of local governments and public officials in IR 1 activities. Since landscapes lie within states, efforts divorced of government involvement risk being project-/place-based and abandoned when CARPE concludes. Local governments are especially important for landscape management because (democratic) decentralizations provide local leaders the discretionary authority needed to address locality-specific circumstances. Equally important, IR 1 efforts that sideline, marginalize, or perhaps even ignore local authorities can undermine governance/democratic reforms, including IR2 partners and their work.

- Natural resources drive national economies, rural livelihoods, and corporate profits. They are highly contested political commodities, a significant source of power and, as such, a powerful lever for engaging citizens in government and promoting systemic governance reforms. For the rural majority, access to land and local natural resources are principal democratic dividends. Governance reforms that institutionalize fundamental democratic principals are central to the long-term sustainability of CARPE outcomes/achievements, yet IR 2 receives relatively little CARPE attention/support. Many cross-cutting partners actively engage government institutions. In addition to WRI-IGP environmental governance work, WRI-GFW has MOUs with the Ministry of Forests in several countries. The MOUs provide WRI a direct relationship with and ensure “buy-in” from the national governments.

CARPE activities that involve appropriate government agencies/departments help re-legitimize the state. Rather than work only with those actors that exercise power, CARPE partners should engage those institutions where legitimate authority over landscape-relevant decisions resides. For example, CARPE law reform initiatives should include the parliament (the supreme lawmaking body in each Central African country), not just the line ministries, sectoral agencies, attorney general’s office, or cabinet. Further, CARPE must focus on both process and outcomes. Strengthening environmental governance – improving process, not just policy – will help ensure that appropriate structures and proper procedures are institutionalized for effective future decision-making. Democratic procedures more often lead to public policies that reflect majority views, effective policy implementation and law enforcement, limited corruption/violent conflict (including limiting illegal logging, nature-based patronage, etc.). Such efforts will both legitimize CARPE accomplishments and strengthen democratic reforms.

In Central Africa, the environment – and therefore, CARPE investments - has instrumental utility in shaping systemic governance reforms. On p.18, the report concludes that, “(s)everal broader policy issues affect CARPE landscapes, but cannot be directly addressed by CARPE”, including effective decentralization of government authorities. WRI-IGP’s work on decentralization, on legislative representation, civil society oversight (transparency, accountability), and other governance matters is powerful precisely because it operates through an environmental lens and seeks to democratize natural resource management. CARPE would do the development community a disservice by ignoring these powerful “secondary” democratic outcomes.

- Landscape approaches to biodiversity conservation recognize that the land outside protected areas is home to significant biodiversity and critical (as dispersal areas, migration routes) to the survival of wildlife within parks. Such approaches also bring attention to and provide unique opportunities for marshaling ecosystem goods/services for local development. The report notes the importance of balancing in-park and out-of-forest investments in the CARPE landscapes. The role of land, natural resources, and ecosystem services - of well-managed forestry concessions, sustainable agriculture, integrated ecotourism, etc. – in improving livelihoods and reducing poverty should be further emphasized in the report. CARPE partners should pay more attention to: promoting economic growth in the sectors/assets of the poor, rural people; creating new markets for natural products; ensuring fair distributions of market shares along commodity chains of commercial natural products (winners and losers); and fair appropriations of nature-based public revenues, such as Cameroon’s timber concession revenue sharing schemes in Cameroon. Pro-poor budgeting can not only reduce poverty/inequity, but create incentives for local people to support environmental management and sustainable development. WRI is addressing these and other equity, poverty and environment issues in Central Africa. For example, in Cameroon, we are developing maps that link poverty and the distribution of environmental benefits/costs to help assess inter- and intra-jurisdictional equity.
- Finally, a few comments on some administrative/management matters addressed in the report.
 1. Encouraging conservation-first partners to balance in-park investments with out-of-forest activities can be problematic. Few CARPE partners have the experience, expertise, mandate, or interests in

community development and poverty reduction. CARPE should consider engaging a new set of partners to address development matters.

2. The role of the proposed 'CARPE Support Contract' and how it might affect the work of existing partners is unclear. The report suggests that it will play an administrative, technical, coordinating, and perhaps facilitating role, but will it also have authorities over partners and their activities?
3. Having leaders spearhead the four (or more?) cross-cutting themes could be useful (especially to focus and coordinate investments), but the report is not clear how they would operate. Would they have similar responsibilities and authorities (over budgets, programs) as landscape leaders? WRI is well positioned to lead both the 'policy and governance' and the 'NRM/Remote Sensing' themes.

Mid-Term Assessment of CARPE II

Comments on Draft Final Report

Organization__ World Wildlife Fund_____

Contact Person_ Allard Blom (allard.blom@wwfus.org)_____

Executive Summary

1. In the opening paragraphs no where is it acknowledged that the US commitment to CBFIP was in fact a Presidential Initiative and that both the US and South Africa jointly launched this in Johannesburg.
2. We believe that the authors could do a better job of recognizing that different landscapes are at different stages of the process. New landscapes – such as Salonga LS and Lac Tumba LS in DRC - are still at the partner identification stage. It is incorrect to state for start up LS, for example, that we have not "effectively addressed the capacity building objective" or that we have not involved development organizations when, in actuality, we are at the stage of doing exactly that. We think the remarks are most relevant for older, more established field sites
3. Along the same line though, it is also import to stress that the authors do not at all recognize partners outside of the CARPE structure that are often active in these areas. For example WWF has specifically partnered with GTZ in both CAR and Cameroon to address rural development, socio-economic and livelihood issues. Additionally, we have received substantial support in that landscape for health and BaAka related issues from both Sacharuna Foundation and Johnson & Johnson.
4. Under “CARPE Program Performance to date” Policy section, does not mention the **Brazzaville Summit**, a very important policy events. No mention of the **COMIFAC treaty, the TNS and TRIDOM transboundary agreements**. All these major policy successes are a **glaring omission** throughout the document.
5. Under "Programmatic Recommendations", first bullet point, we think we should add gradually in “Improve program balance by gradually focusing more...”
6. Under "Programmatic Recommendations", last bullet point, we think they mean "inter-landscape learning" not "intra-landscape learning"
7. Under: g: Develop a more precise approach to balancing conservation and development activities in landscape: The evaluators are suggesting 5-10% of CARPE funding for development. In fact, we recommend that level of funding should be matched by development institutions. This is already the case in TNS for example with a partnering with GTZ. Also, there are much more funding available for development than for conservation and the evaluators should not over emphasized the role that development can play.
8. On page 2 of the Executive Summary, third paragraph, and on page 7, second paragraph, the evaluators state that “the implementing NGOs have limited relationships with government agencies that have the legal authority to work in the landscapes areas that are not PAs” and “Others, especially in Gabon, said that they only have agreements with government to work with national park agencies...”. This is not correct as far as WWF Gabon is concerned; we have agreements with the Ministry responsible for non protected areas and are closely working with Ministry staff (some of them are even based in our offices). On that basis, WWF has made, for instance, significant progress on bush meat control outside protected areas and, generally is implementing an integrated landscape approach.
9. We understand that there might be some rationale for increasing the importance of IR 2/IR 3 as well as development initiatives, but would like to emphasize that funding for action on the ground is critical if one wants to achieve conservation results. The danger of allocating part of the CARPE funding to development activities is that we will have diminished conservation and no significant development impact given the scale of the development challenges.

Background and program history

1. Page 1, last sentence: negatively instead of natively.
2. As mentioned in our earlier comments the COMIFAC Treaty is not mentioned and should be in the second paragraph, page 1.
3. Page 2, second paragraph: the priority workshop did in fact not determine the 11 landscapes. It determined the conservation priorities for the Congo Basin, which include the 11 landscapes. They were defined later based on the result of the workshop. This distinction is important because some important areas are not covered in the 11 landscapes.
4. Table 1 (p.6): several factual mistakes and omissions:
 - a. Gamba Conkouati: WWF is LL not SL
 - b. TRIDOM: WWF is LL not SL
 - c. Sangha Tri-National: WWF is LL, WCS is SL
 - d. Lac Tele- Lac Tumba: WWF is LL, WCS is SL
 - e. Salonga – Lukenie- Sankuru, 4th column: Not only is WWF the Landscape Leader but we are working in the landscape (versus "Salonga NP" as noted in this document). As for WCS, is not working in the landscape but instead have elected to work in the Salonga National Park.
 - f. The table is not clear as to whether it presents the progress expected by the end of the present phase (Sept 06). This clarification is required. If yes, for example for SLS it should read:
Ind 1: 60% of LU Process Convened
Ind 2: LUP Process Convened
5. Page 8 under effective integration, 3rd paragraph: the reference to the lack of trans-border coordination could be changed to say that “there has been a formal cross-border landscape meeting in August 2005, cross-border threats have been identified and a draft action plans to address these threats have been developed”.
6. Page 18, 3rd bullet point. The FORCOMS a rather controversial initiative, to such an extent that WWF has pulled out of this initiative.
7. Page 18, iv. Bush meat: Commercial bush meat trade not only negatively impacts wildlife but local community livelihoods, an important entry point for community collaboration. Furthermore we should also mention the ivory trade as having an important negative impact.
8. Page 20, first bullet point: we do not think the statement that: “Much of the bush meat.....” is an accurate statement, as the military involvement is prominent in DRC, but not much in the other countries of the region.
9. Page 20 "Gender", 1st paragraph and 1st line: “Landscape partners have not made gender a priority, primarily because they have had no responsibility to report on gender indicators.. Probably this sentence needs to be re-phrased. The evaluators seem to be insinuating that if we have to report on something it will become important. In other works conservation/NRM is not really what is driving our activities, but instead the report card from USAID.
10. Page 25, 4th paragraph: Insert co-initiated as mentioned earlier CBFP was initiated by the US and South African Governments.
11. Page 26, first line: we think you probably refer here to the Moore Foundation not MacArthur.

Assessment of Program Performance

1. Page 27, "last paragraph": We believe that CARPE/USAID could do a better job sharing information on other mission-funded programs with CARPE programs - this is in-line with comments on the need to better integrate partners with other expertise.
2. Page 29, point 2 under implementing NGO's: although we acknowledge we have experienced problems with funds control this was restricted to the Kinshasa office and did not occur in Yaoundé at all. Stricter controls were put in place and the CTO was kept informed and approved of those changes. No USAID funds went missing. New procedures have been put into place since to improve on our efficiency in cash transfers.

3. Page 30 under strategic planning: we would like to mention the notable exception of the TNS and to a lesser extent the TRIDOM landscapes. Certainly the joint TNS landscape and financial planning merit mentioning here as indeed in other places in the document.. The joint planning has been formalized in a tri-country agreement and the financial planning is forming the basis for the TNS trust fund. Both these initiatives have been repeatedly cited as models for the region and indeed are being replicated in for example TRIDOM.
4. Page 34, 2nd paragraph: From informal discussions with other LS leaders and partners, we think points "a) seemingly unending revisions of work plans throughout the year (especially a requested revision 2 weeks before the end of that years reporting period does not really seem justified)" and "b) changes in what needs to be reported in the PMP" merit mention in the conclusions.
5. Page 34, last bullet point under conclusions. WWF has contested the CTO on the issue of his requiring USAID approval for the small grants as we did not see any reference to this in the contracts. We are pleased to see that the authors seem to share our point of view that this too much micro-management.
6. Page 36, 2e paragraph last sentence under Roles and effectiveness of focal points: This seems to indicate that WWF was to blame for the delay, which was not the case. Delays were due to multiple problems at the level of USAID, WCS and WWF. Rather rephrase : due to significant delays in defining new contractual arrangements.

Assessment of Strategic Design

1. Page 43, 3rd paragraph. We would like to point out that CARPE is not the entire program of WWF. The same holds true for other NGO country programs. Even within the landscapes and certainly also outside of the landscapes significant additional funds come from non CARPE sources and in some cases even non CBFP. Although we acknowledge that USAID branding might at times have been insufficient, USAID on its part need to realize that and acknowledge (as is indeed in this report), we have been extremely successful in leveraging additional funding. This is also an objective under CARPE. More important however than either branding it for WWF, WCS or USAID is the branding of the landscapes as national programs.
2. Page 44, 3rd paragraph. The comment that the landscapes do not correspond to administrative mandates does not hold true for either Cameroon or CAR (and to our knowledge Congo, but WCS can clarify this point). Both in the case of TRIDOM and TNS in Cameroon there is a clear mandate under Government recognized management units that correspond to WWF's Jengi program. In CAR the Dzanga-Sangha protected area complex that is the landscape segment falls entirely under the mandate of one Ministry and the Ministry appointed National Director of the Dzanga-Sangha Project. Again the authors seem not to acknowledge the enormous differences in progress between LS. The older ones like TNS are often much more advanced than seem to be acknowledged in the report.
3. Page 45, 2nd paragraph: It is incorrect to state that landscape specific successes tend to remain bound within a given landscape. Certainly the experience of WCS in forest concessions in ROC or the WWF experience in Minkebe have been widely shared and modeled. Indeed improvements in sharing of lessons learned are welcomed.
4. Page 45, first bullet point under conclusions: Again this fails to acknowledge the tremendous progress that has been made in TNS and TRIDOM, where formal transboundary and national committees have been set up, which include provincial Government (prefect) and lower local level participation.
5. Page 46, under Problems with the small grant mechanism should be Gabon instead of Congo for the Gamba complex..

Recommendations for the Optimization of CARPE

First three general remarks:

1. Evaluation team missed out on many land-use planning (CBNRM, forestry concessions) examples from Cameroon, Lobeke in particular.
2. Future financial allotment should also reflect whether partners are working at the LS scale. In Salonga for example, WCS is not working on the LS scale..

3. Expenditures are not necessarily linked to performance or impact.
4. page 49, under programmatic recommendation, 3rd bullet: This does not take into account the considerable expertise and partners outside of CARPE such as GTZ and ECOFAC (EU)
5. page 49, under programmatic recommendation, 4th bullet: The authors do not acknowledge that this is in fact already happening (Cameroon is a good example to the point), but again different LS are at different stages and it is in our point of view a normal and needed growth process from PA towards the outside.
6. page 49, under programmatic recommendation, last bullet: again this should probably say inter instead of intra-landscape learning and we would also like to stress the need for formal LS teams such as have been established under the TRIDOM and TNS agreements.
7. Page 49, under tighten program focus, 2nd bullet: WWF has been working with RAPAC (the regional protected areas managers association under COMIFAC) on the peer review and capacity building process using the toolkit. In fact we have a joint funding proposal in with the Alliance with matching funds from the EU already committed.
8. Page 50 2nd paragraphs: By diluting the landscape aspect we risk of losing our focus. We are already integrating with administrative units and plans (see TNS and TRIDOM).
9. page 51, first paragraph: We need to strengthen indeed RAPAC (see point 7 above)
10. Page 51 under bush meat: WWF has already a proposal for working on bush meat with the TransGabonais railway and has successfully addressed these issues with Shell in Gamba.
11. Page 52 under improved program management, 5th bullet:” The successful operations from Cameroon FP should be capitalized on and this FP should remain full time. In addition, the Cameroon FP thinks that 3 people in each focal point office is the minimum realistic number. In addition the number of landscapes segments in Cameroon is two, rather than one as mentioned in the report.
12. page 53 under develop a more precise...., first and second point: Again we would like to stress that we need to look at the overall picture and that substantial development funds and expertise have been going into the landscapes from non CARPE sources. A floor and designated window do not seem justified given the fact that development funds are easier to raise than dedicated conservation funds and we risk diluting from our principal objective.
13. Generally for the record we would like to point out that WWF has been active in the Virunga’ s for many years without CARPE funding for now.

Annexes

Even though we were not asked in the form to comment on the annexes we do have a couple of remarks. We should not that given the time restraint we were not able to go through these carefully and by each landscape leader:

Table 7: For Salonga the funding from EU is 813,000 EURO for 3 years (actually 34 months)

Landscape segment and leaders reference sheet contains several errors:

Lisa Steel phone number is 099896151

Salonga: WWF 2nd Column should read: DRC, Salonga Lukenie Sankuru

Page 9: our LS leaders actually work for World Wide Fund For Nature as is the official name of WWF international.

The US name is indeed World Wildlife Fund Inc.

The following are additional points raised by the Focal Points in Cameroon and DRC that we transmit here with our submission:

From Cameroon:

To Improve CARPE relationships with national governments CARPE FP should liaise directly with national and local government official who should be a contact person for the FP. This person should be the voice of CARPE Program at the government level.

“Different organizations are responsible for reporting on the cross-cutting components. WRI, and the NGOs responsible for coordinating the work of the CARPE Focal Points submit separate annual reports on their achievement of targets for IR 2 and IR 3 Indicator 2”. **In the contrary, according to PMP, it is “CARPE FOCAL POINT who organizes information from CROSS-CUTTER and COUNTRY-HEADS and integrates reporting for this indicator. They will blend reporting from: WRI Institution and Governance Program and GFW IUCN (AWF, CI, WCS, WWF Country Heads)”**”

“The policy component has not been fully effective in contributing to achievement of IR2, due to the failure of most of the Country Focal Points to coordinate a policy agenda and move it forward.... In other countries the Focal Points made little progress towards convening stakeholders to develop a country policy strategy, identify priority legislative and regulatory reforms, or engage the broader civil society in advocacy or outreach”. **It should be clearly clarified that DRC Focal point was not in place for more than a year when the PMP was designed. A new one has been hired since 15 November 2005. The FP office in Brazzaville was not operational.**”

“However, the USG/USAID responsibilities regarding liaison with host governments are not clearly defined or effective. They have not been carried out aggressively by existing focal points” **The realistic approach should be a good coordination with the implementing NGOs**”

“Administratively locating focal points with Implementing NGOs has not worked well. It leads to the appearance or reality of conflict of interest and makes it difficult for focal points to achieve independence for their tasks of landscape monitoring, coordination with national governments, and policy advocacy”.

This is true only in the case of landscapes monitoring and reporting.

However FP operating within the administrative structure of an implementing NGO seems to be the most realistic and strategic approach and also has some advantages which are not highlighted in the report.

“The assessment team believes that full time focal points may only be needed in DRC, Gabon, and ROC; that a non-NGO administrative home needs to be found; that the present focal point structure of 3 people in each focal point office is excessive..... ”. **The Success operations from Cameroon FP should be capitalized in the country and region and this FP should remain full time. In addition 3 people in each focal point office is the minimum realistic number. In addition the number of landscapes segments in Cameroon is two, rather than one as mentioned in the report.**”

From DRC:

Assessment of Management Structure and Performance

F. The analysis of the roles and effectiveness of Focal points was not thorough and lack accuracy, in some sections.

1. Roles:

The number and importance of Focal points (FP) was not determined by the number of landscape nor by their geographical distribution. FP have a key role in the implication and reinforcement of the civil society. They are also a linchpin for the coordination with the government institutions, donors, international organizations and the embassies. They are very important for the organization of the national working group in charge of the country matrix.

2. Effectiveness: to state that FP were effective only in Cameroon is not correct. The FP in DRC was very effective in CARPE I when she had the responsibilities of Small grant programs only. The FP has been able to build NGOs/CBOs capacity and to promote CARPE. There have not been a DRC FP for almost 2 years.

The report is comparing countries and situations that can not be comparable. The report does not explain clearly why they think it didn't work or it has not been effective but they just limit their analysis comparing situations that can not be compared. DRC situation was quite unique.

The responsibilities of the FP have evolved in CARPE II: therefore the number of staff for the FP should be 3 at minimum.

3. General comments:

The number of FP should be increased to fill the gaps of conservation in the horn of Africa, Rwanda and Burundi.

Administrative location of FP with implementing partners: the report gives only negative aspects of this management structure without taking into consideration some important aspects. The fact that the FP can work closely and administratively within an implementing partner is strategic. During time of conflict and (post-conflict), those implementing NGOs were continuously present in the ground. They were working with ICCN and local NGOs/CBOs. They were visible and active without interruption. The landscape-based programme /approach is such a new and abstract concept that only through implementing NGOs, the FP will be able to effectively meet the targets.

The report tends to give some strong statements a thorough study of the role & responsibilities of the FP.

Recommendation: the report should be reviewed based on these concerns.