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**READINESS PREPARATION PROPOSAL ASSESSMENT NOTE**

**ON A**

PROPOSED GRANT

IN THE AMOUNT US\$ 3.4 MILLION

TO THE

DEMOCRATIC REPUBLIC OF CONGO

FOR

REDD+ READINESS PREPARATION SUPPORT

Vice President:	Obiageli Katryn Ezekwesili
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## DATA SHEET

*DEMOCRATIC REPUBLIC OF CONGO  
REDD+ READINESS PREPARATION SUPPORT*

### READINESS PREPARATION PROPOSAL (R-PP) ASSESSMENT NOTE

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<p><b>Date:</b> March 8, 2011  <b>Country Director:</b> Marie Françoise Marie-Nelly  <b>Sector Manager/Director:</b> Idah Z. Pswarayi-Riddihough / Jamal Saghir  <b>Project ID:</b> P124072  <b>Lending Instrument:</b> TF Grant  <b>Team Leader:</b> Simon Rietbergen  <b>Regional Safeguards Coordinator:</b> Alexandra Bezeredi  <b>Safeguards Specialist:</b> Paul Martin  <b>Procurement Specialist:</b> Philippe Mahele Liwoke  <b>Financial Management Specialist:</b> Gaspy Gedeon Muanda</p>	<p><b>Risk Rating:</b> High  <b>Sectors:</b> ENV  <b>Themes:</b> Forests, Climate Change</p>						
<p>Does this project include any CDD component? <span style="float: right;"><input type="radio"/> Yes <input checked="" type="radio"/> No</span></p>							
<p>Date of country selection into FCPF: July 1, 2008  Date of Participation Agreement signed by Country: August 16, 2008  Date of Participation Agreement signed by Bank: August 16, 2008  Date of R-PP Formulation Grant Agreement signature: March 18, 2009  Expected date of Readiness Preparation Grant Agreement signature: 02/28/11</p>							
<b>Project Financing Data:</b>							
<table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 25%; border: none;"><input type="checkbox"/> Loan</td> <td style="width: 25%; border: none;"><input checked="" type="checkbox"/> Grant</td> <td style="width: 50%; border: none;"><input type="checkbox"/> Other, explain:</td> </tr> <tr> <td style="border: none;"><input type="checkbox"/> Credit</td> <td style="border: none;"><input type="checkbox"/> Guarantee</td> <td style="border: none;"></td> </tr> </table>		<input type="checkbox"/> Loan	<input checked="" type="checkbox"/> Grant	<input type="checkbox"/> Other, explain:	<input type="checkbox"/> Credit	<input type="checkbox"/> Guarantee	
<input type="checkbox"/> Loan	<input checked="" type="checkbox"/> Grant	<input type="checkbox"/> Other, explain:					
<input type="checkbox"/> Credit	<input type="checkbox"/> Guarantee						
<p>For Loans/Credits/Others: N/A  Total Project Cost (US\$M): US\$ 3.4 million  Cofinancing: N/A  Total Bank Financing (US\$M): N/A</p>							
Source	Total Amount (US\$)						
Recipient	N/A						
IBRD	N/A						
IDA	N/A						

New	N/A
Recommitted	N/A
Others (FCPF)	USD 3.4 million
Regional FCPF Trust Fund Number: TF093599	
FCPF Country Child Trust Fund Number: TF093871	
Recipient: Democratic Republic of Congo	
Responsible Agency: <i>National REDD Coordination</i> , at the Ministry of Environment, Nature Conservation and Tourism	
Contact Person: Mr. Kanu Mbizi Telephone No.: +243 998231555	Fax No.: N/A Email: <a href="mailto:kanumbizi@yahoo.fr">kanumbizi@yahoo.fr</a>
Project Implementation Period: March 2011 to February 2014	
<b>Clearances to the Readiness Preparation Proposal Assessment Note:</b>	
Sector Manager: 02/08/11	
Regional Safeguards Coordinator: 02/06/08	
Procurement Specialist: 03/02/11	
Financial Management Specialist: 04/02/11	

## **PURPOSE OF THE READINESS PREPARATION PROPOSAL ASSESSMENT NOTE**

As part of its responsibilities for the FCPF, the World Bank has been asked to ensure that the FCPF's activities comply with the relevant World Bank Operational Policies and Procedures, in particular the Safeguard Policies, and the policies on Procurement and Financial Management.

The World Bank has also been asked to assist REDD Country Participants to formulate and implement their Readiness Preparation Proposals (R-PPs).

The purpose of this Readiness Preparation Proposal Assessment Note (R-PP Assessment Note), therefore, is for the Bank to assess if and how the proposed REDD+ Readiness Support Activity, as presented in the R-PP, complies with Safeguard Policies, and the Bank's policies on Procurement and Financial Management, record the assistance it has provided to the REDD Country Participant in the formulation of its R-PP, and describe the assistance it might potentially provide to the REDD Country Participant in the implementation of its R-PP.

## **ABBREVIATIONS AND ACRONYMS**

BCECO	Bureau Central de Coordination
CBFF	Congo Basin Forest Fund
CO <sub>2</sub> e	Carbon dioxide equivalent
COMIFAC	Commission des Forêts de l'Afrique Centrale
CU-FNCP	Coordination Unit of Forest and Nature Conservation Project (CU-FNCP)
DRC	Democratic Republic of Congo
ESMF	Environmental and Social Management Framework
FCPF	Forest Carbon Partnership Facility
FNCP	Forest and Nature Conservation Project
FMT	Facility Management Team
GTCR	Working Group on Climate and REDD ( <i>Groupe de Travail Climat REDD</i> )
IBRD	International Bank for Reconstruction and Development
IDA	International Development Association
MECNT	Ministry of the Environment, Nature Conservation and Tourism
MRV	Measurement, reporting and verification
Mt	Megaton (million metric tons)
NGO	Non-Governmental Organization
PC	Participants Committee
REDD+	Reducing emissions from deforestation and forest degradation, conservation of forest carbon stocks, sustainable management of forest, and enhancement of forest carbon stocks in developing countries
R-PIN	Readiness Preparation Idea Note
R-PP	Readiness Preparation Proposal
SBSTA	Subsidiary Body for Scientific and Technological Advice
SESA	Strategic Environmental and Social Assessment
UNFCCC	United Nations Framework Convention on Climate Change

DEMOCRATIC REPUBLIC OF CONGO  
REDD+ Readiness Preparation Support

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    - 3. Consultation, Participation and Disclosure
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**Annex I: Terms of Reference for the Strategic Environmental and Social Assessment**

DEMOCRATIC REPUBLIC OF CONGO  
REDD+ Readiness Preparation Support

*Please see OPCS “Guidelines for the Project Concept Note (PCN).”<sup>1</sup>  
Any guidance given below is additional to those guidelines.*

## **I. Introduction and Context**

### **A. Country Context**

DRC has the third largest population and the second largest land area in Sub-Saharan Africa. It is rich in natural resources: fertile soils, ample rainfall, immense water resources, and enormous mineral wealth including copper, cobalt, coltan, diamonds, gold, zinc, other base metals, and oil. Forests cover approximately 145 million hectares, 62% of the national territory. DRC harbors the second largest forest area in the world, and half of all African rainforests. DRC’s biodiversity is a globally important asset. The country ranks fifth in the world for plant and animal diversity and contains five Natural World Heritage Sites, more than the rest of Africa combined. Forests of all types make a critical contribution to the livelihoods of about 40 million people who are among the world’s poorest, by providing food, medicine, household energy, building materials, and cash income.

Forests touch the cultural and economic life of the majority of the Congolese population and have enormous global environmental significance. Deforestation and associated CO<sub>2</sub> emissions have remained relatively low in recent years. Nevertheless, it could escalate rapidly with an increase in political stability and reconstruction, both key to development objectives. Improved infrastructure facilitates access to forests, which could lead to increased logging, forest conversion into other land uses and poaching.

When the Bank re-engaged with the DRC in 2001, forest institutions were in complete disarray, the sector was still under colonial forest law, and no regulations could be enforced. Prior to and during the Congolese civil conflict, the majority of the country’s productive forests had been allocated as forest concessions, often to rent seekers unable to operate the concessions themselves. By 2002, over 43 million hectares (twice the size of the United Kingdom) were under 285 logging contracts signed with no transparency, no local consultation, nor clear role and benefits for local and indigenous people. In addition, royalties owed to the Government were low and often remained unpaid.

The 2002 Forest Code introduced innovations such as legal protection of traditional users’ rights in all forests, the right of local people to manage community forests, mandatory sustainable-management plans for all production forests, revenue sharing with local governing bodies, social responsibility clauses (*cahiers de charges*) attached to concession contracts, expansion of the protected area network, and promotion of environmental services, including carbon sequestration and storage.

### **B. Sectoral and Institutional Context**

The Bank, working closely with a group of bilateral donors, has assisted the Government of DRC to reestablish the sector’s policy and regulatory framework, restore the rule of law in the forest sector, set the stage for participatory governance, and strengthen the institutional capacity. As with other Bank

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<sup>1</sup> Available at

<http://intranet.worldbank.org/WBSITE/INTRANET/OPERATIONS/INTOPEX/0,,contentMDK:22440447~menuPK:619503~pagePK:64168332~piPK:64168299~theSitePK:587626.00.html#Documents>

assistance in the forest sector, the ultimate goal was to harness the potential of forests in reducing poverty, integrating forests in sustainable development, while protecting vital local and global environmental assets.

In 2007, along with various partners, the World Bank published the *Forest in Post Conflict Democratic Republic of Congo: Analysis of a Priority Agenda*, which provides the analytical basis for overall Bank support to the DRC forest sector. It emphasizes the nature of forests as a public good, and the importance of the rule of law, transparency, and public participation in managing natural resources. It highlights the multiplicity of claims on forests, calls for multipurpose participatory uses and land-use planning, while emphasizing the need to secure traditional-user rights.

Under strong Government leadership, a significant number of donors contributed to the design of the **National Forest Management and Nature Conservation Program (PNFoCo)**, a new comprehensive program aimed at: i) creating institutional capacity to ensure implementation of the new forest policy; ii) ensuring that the forests' social, economic, and environmental functions are preserved in the long term; iii) ensuring that forests contribute meaningfully to improving the livelihoods of rural populations; and iv) expanding the network of protected areas to 15% of the country's land area. The World Bank's support to the PNFoCo is materialized in the **Forest and Nature Conservation Project (FNCP)**, a USD70 million operation blending International Development Association (IDA) and Global Environmental Facility (GEF) financing aimed primarily to increase the capacity of the Ministry of Environment, Nature Conservation, and Tourism (MECNT) and that of the Congolese Nature Conservation Institute (ICCN).

Seeking alternatives to the management of DRC's forests is a common goal shared by the Government, civil society and donors. The establishment of an international mechanism to compensate countries to **reduce emissions from deforestation and forest degradation and to promote conservation of forest carbon stocks, sustainable management of forest, and enhancement of forest carbon stocks in developing countries (REDD+)** as part of the international climate change negotiations offers DRC with an opportunity to capitalize on its natural wealth and promote new models of forest management.

The **Forest Carbon Partnership Facility (FCPF)**, a multi-donor initiative led by the World Bank, is assisting DRC in its efforts to reduce emissions from deforestation and forest degradation, and to promote the role of conservation, sustainable management of forests and enhancement of carbon stocks (REDD+). The FCPF assists countries in working out their national reference scenarios for emissions from deforestation and forest degradation, adopting and complementing national strategies for stemming deforestation and forest degradation, and designing national monitoring, reporting and verification systems for REDD+. These activities are referred to as '**REDD+ Readiness**'.

The Democratic Republic of Congo submitted an R-PP for consideration by the FCPF Participants Committee (PC), in March 2009. The document was also submitted to and approved by the UN-REDD Programme, a partnership of three UN agencies (FAO, UNDP, UNEP) currently supporting REDD+ Readiness in DRC. After a thorough assessment of this Proposal, the FCPF PC authorized the allocation of a REDD+ Readiness Preparation grant for DRC to carry out activities outlined in its R-PP. As the FCPF grant will not fund the full REDD+ Readiness process, the country is expected to leverage resources from other sources to complete its REDD+ Readiness process.

The Democratic Republic of Congo is also a pilot country for the **Forest Investment Program (FIP)**, which aims to provide investment financing to priority activities, project and programs part of the emerging national REDD+ Strategy. In DRC, FIP activities will be closely aligned with the national REDD+ Readiness process. In institutional terms, the steering committee for the FIP will be the National REDD Committee and the overall coordination for the FIP will be ensured by the National REDD Coordination. In terms of investments, FIP resources will be targeted at programs addressing the key

drivers of deforestation and degradation, which are currently being developed as part of the national REDD+ Readiness process.

### **i. REDD+ Readiness in DRC**

To be able to fully participate in an international REDD+ mechanism, DRC will need to build substantial technical and institutional capacity. Currently, the Forest Carbon Partnership Facility (led by the World Bank) and the UN-REDD Programme are supporting the country in their national efforts towards “REDD+ Readiness”. In March 2009, the country finalized its **Readiness Preparation Proposal (R-PP)**, which lays out an ambitious three-year roadmap for REDD+ Readiness in the country. The overall goal of the Readiness process is to prepare DRC to participate in a future REDD+ system and to benefit from REDD+ finance flows. The national REDD+ Readiness process has three main elements:

- 1) **National coordination of REDD+ Readiness**, including the overall management of the process, multi-stakeholder consultations, and communication.
- 2) **Preparation of the National REDD+ Strategy**, including technical, institutional, and regulatory elements, backed by a highly consultative and transparent design process.
- 3) **Development and implementation of an experimentation program**, consisting of a series of pilot REDD+ projects addressing the main drivers of deforestation in the country, which are expected to generate key information for the National REDD+ Strategy.

The REDD+ Readiness Program is being led at the operational level by the **National REDD Coordination** within the MECNT, which was created by a Ministerial Decree in 2009. The Decree also created a National REDD Committee, to provide high-level guidance to the REDD+ process, and an Interministerial REDD Committee, to ensure consideration of cross-sectoral linkages affecting deforestation.

### **ii. Deforestation and Forest Degradation Drivers and Suggested Strategic Options<sup>2</sup>**

The available forest cover data for the 1990-2000 period indicate a gross yearly rate of deforestation of 0.25% (*State of the Forests*, 2008), substantially lower than the global average for tropical countries for the same period. However, this represents substantial deforestation in absolute terms, due to the large national forest cover, putting DRC among the ten countries worldwide with the highest annual loss of forest cover. Deforestation and degradation are not distributed homogeneously over the territory with the existence of important deforestation “hot spots”.

Detailed in-depth analysis of the causes of deforestation and forest degradation will be carried out during the REDD+ Readiness phase. Based on existing knowledge, the drivers of deforestation in DRC can be categorized into ‘proximate’ causes (direct and indirect causes) and underlying causes / context. The main **proximate causes of deforestation** in DRC are agricultural expansion, wood extraction, and infrastructure extension, and their indirect impacts. The most important **indirect causes** are related to demographics (population increase, urbanization, and displacement), to institutional factors (illegality, lack of law enforcement, rampant corruption in the natural resources sector, lack of land tenure security, conflicts across different land uses) and to technological variables (low productivity agricultural methods, inefficient charcoal transformation).

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<sup>2</sup> This section draws on the Readiness Preparation Proposal (R-PP) prepared by the DRC.



Four dominant deforestation patterns have been identified:

### ***1. Food and energy demand in urban areas***

Population density in urban areas and the resulting demand for food and energy leads to pressure on surrounding forested land as the source of agricultural land and biomass energy. Congolese agriculture is mostly rain-fed and rarely mechanized. It is dominated by subsistence farming (mainly food crops) and based on slash-and-burn techniques. Rapidly increasing population leads to an increase in forest area cleared (without a corresponding increase in productivity per hectare) and a gradual decrease in rotation periods, no longer allowing for the regeneration of forest cover, and resulting in additional expansion of cultivated areas to compensate for decreasing fertility. Alongside agriculture, high dependence on fuelwood and charcoal (which account for nearly 80% of national energy supply) is a major source of degradation and deforestation around urban areas (degradation often acting as a catalyst for deforestation).

### ***2. Commercial logging – direct and indirect impacts***

Currently, the direct impact of industrial logging in the DRC is often limited, largely due to a problematic legal and business environment and poor infrastructure. However, industrial logging has potentially extensive indirect impacts, deriving from resulting increases in accessibility and population. Roads and other infrastructure constructed by industrial logging companies increase accessibility to forests (for example, the road network related to industrial logging represents 38% of the road network in the Congo Basin region), leading to a rise in degradation and deforestation, often as a result of local communities' slash and burn agriculture and sometimes of small-scale informal logging. Employees of logging companies and labor seekers in the area add to forest degradation and deforestation around industrial logging activity centers.

### ***3. Mining – direct and indirect impacts***

Though direct impacts of mining operations on forest landscapes can be locally significant, their potential indirect impacts present a considerably larger risk to the integrity of DRC's forests. Exploitation of DRC's large mineral reserves (e.g. second largest global reserves of copper and cobalt) is currently minimal due to a dysfunctional industrial mining sector (due again to an unfavorable business environment and lack of infrastructure), but likely to increase rapidly with economic development and political stability. Construction of infrastructure for mining projects, similarly to industrial logging, opens up previously inaccessible wooded zones to the local population, as well as to mining company workers who settle down with their families, leading to expansion of farming and hunting activities.

### ***4. Informal logging in easily accessible forest blocks***

The informal logging sector constitutes the principal source of timber supply to the domestic market, as well as sustaining cross-border markets (including high-value species exported to Uganda and other countries). The extent of this sector's activities remains uncertain, but they have increased over the last decade and continue to grow, and it has been suggested that the informal sector produces substantially more timber than the formal sector (Debroux et al., 2007; Fétiveau and Mpoyi, 2009). The impact of small-scale loggers on forests is different from that of industrial loggers. Informal logging operations are concentrated in forest areas (including protected areas) where infrastructure construction or heavy equipment are not necessary to harvest or extract the wood or to make its extraction cost-effective - principally in forest margins and forest fragments, e.g. along the large rivers (Congo, Oubangui, etc.) and the main roads in the East of the country. Small-scale loggers also tend to extract larger volumes from smaller areas, since they do not respect legal minimum exploitable diameters, and some of them also use a broader range of species (Debroux et al., 2007).

### **iii. Preliminary Strategic Options**

Exploratory work on the DRC's REDD+ potential allowed the Government to identify preliminary strategic options to address the direct and underlying causes of deforestation. The National REDD+ Strategy will be the result of a participatory process, based on analytical studies and lessons learned from pilot REDD+ projects. It will also be influenced by the Strategic Environmental and Social Assessment (SESA) to be conducted with WB support, to ensure that social and environmental considerations are taken into account in prioritizing the strategic options to be pursued by the government.

Fourteen programs were identified in DRC's R-PP, as potential activities for the future REDD+ strategy. They are divided into the four groups below. Financial analysis from the exploratory study of REDD+ potential in the DRC (McKinsey, 2009) indicated that around 60% of emission reductions could be achieved at a cost of less than 5 €/ton CO<sub>2</sub>.

#### **Group 1 – Management, sustainable management and forest rehabilitation**

- a. Management of activities relating to industrial and artisanal logging and the fight against illegal logging within “Permanent Production Forests”.
- b. Management, valuation and expansion of “Reserved Forests”: including biodiversity conservation in protected areas.
- c. Afforestation and reforestation as a means to rehabilitate degraded forests and areas that are marginal for farming.
- d. Transfer of forest management responsibilities to communities, using tools such as micro-zoning and participatory mapping.

#### **Group 2 – Development of agriculture in rural/forest areas**

- a. Increase of agricultural productivity and sedentarization of swidden farmers.
- b. Increase of revenue and value added from smallholder commercial agricultural, e.g. through agroforestry.
- c. Development of intensive agriculture to rehabilitate old commercial plantations and develop new plantations in savannah-land.
- d. Integration of rural/urban development, targeting income-generating alternatives to deforestation.

#### **Group 3 – Reduction of urban and industrial growth impact on forests (through strong inter-ministerial coordination)**

- a. Reduction of demand for fuelwood and increase in supply through reforestation.
- b. Reduction of extractive industries' (especially mining) impacts on forests.

#### **Group 4 – Cross-cutting programs**

- a. Development of national REDD+ Strategy, including national land use policy.
- b. Promotion of legal and institutional reforms.
- c. Support to a participatory process for policy making.
- d. Development of a national MRV (Measurement, Reporting and Verification) system.
- e. Development of a transparent mechanism for benefit sharing.

It is clear from these preliminary strategic options that a national REDD+ strategy will have an inter-sectoral nature and require strong inter-sectoral coordination. High-level political commitment to REDD+ will be necessary to ensure this level of coordination and to address complex institutional issues (land tenure, land use planning, etc.)

## **C. Relationship to CAS**

The REDD+ Readiness Program will assist DRC in preparing itself for a future REDD+ mechanism, which should ultimately contribute to the country's sustainable development through improved management of its forest resources. Being "ready" for REDD+ will entail increased capacity to coordinate and harmonize land use policies with a view to mitigating future impacts on forest cover, while ensuring that benefits from forests flow to those communities dependant on these resources.

The REDD+ Readiness Program will contribute to pillar 1, 2 and 5 of the 2006 Country Assistance Strategy, respectively: i) Promoting Good Governance; ii) Consolidating Macroeconomic Stability and Economic Growth; and iii) Promoting Community Dynamics. By supporting the REDD+ Readiness process in the DRC, the Program will strengthen processes and capacity to manage natural resources equitably, transparently, and sustainably with the participation and to the benefit of rural and indigenous populations, while supporting the DRC in receiving compensation for the globally-valued ecosystem services provided by its forests.

The REDD+ Readiness process will also contribute to overall donor coordination in the forest sector in the DRC. The World Bank is working closely with the relevant UN agencies (FAO, UNDP, UNEP, part of the UN-REDD Programme) and the African Development Bank (Congo Basin Forest Fund) on a joint program to support REDD+ readiness in the country.

The DRC's Poverty Reduction and Growth Strategy Paper (DSRP) of 2006 also stresses the importance of fostering environmental sustainability by maintaining forest cover and ensuring sound management of protected areas. The document emphasizes that poverty, amplified by conflict, is a strong driver of environmental degradation, and that forests are an important provider of food, energy, and other sources of income for the large majority of Congolese. To alleviate poverty and achieve livelihood security over the long term, natural resources must be managed sustainably and their depletion avoided.

Finally, the REDD+ Readiness Program is closely linked to the Forest and Nature Conservation Project (FNCP), furthering its goal of supporting the DRC in positioning itself as a provider of global environmental services in return for due compensation. The Readiness Program will also support the ongoing reform agenda in the forest sector by: i) strengthening institutional and technical capacity in the forest sector; ii) further strengthening governance in the sector (including enhanced transparency and new benefit-sharing rules for forest ecosystem services revenues); iii) contributing to multi-stakeholder participation in decision making; iv) supporting sustainable forest management; v) ensuring forests contribute to improving rural populations' livelihood conditions. In operational terms, fiduciary responsibilities for the REDD+ Readiness Program will be carried out by the Coordination Unit of the FNCP (CU-FNCP).

## **II. Proposed Project Development Objectives**

### **A. Proposed PDO**

The Project Development Objective is to reinforce DRC's capacities to design a socially and environmentally sound national strategy to reduce emissions from deforestation and forest

degradation (REDD+) and to develop a national reference scenario of emissions from deforestation and degradation that takes into account national circumstances.

## **B. Key Results**

1. A National REDD+ Strategy (including the legal framework) is prepared and validated by national stakeholders;
2. National circumstances affecting the reference scenario are identified and quantified.
3. A Strategic Environmental and Social Assessment (SESA) is prepared and validated by national stakeholders.

## **III. Project Context**

### **A. Concept**

#### **1. Description**

The Readiness Preparation Proposal (R-PP) prepared by the government identifies a broad set of activities to support the country in strengthening technical and institutional capacities to participate in a REDD+ mechanism. The financial envelope needed to cover this set of activities adds up to USD 22 million. The country has secured USD3.4 million from the FCPF and USD5.5 million from the UN-REDD Programme (totaling USD 8.9 million) to finance the priority activities of the REDD+ Readiness process, which will allow the country to build a strong base for further engagement in the REDD process. The FCPF and UN-REDD programs are also playing an important role in helping the country leverage additional funding for the overall REDD+ process, by supporting the emergence of a clear vision on how the country can engage in REDD+ and the associated financial, technical and institutional needs. Various partners have already indicated their willingness to provide further funding to the Readiness process, including the Congo Basin Forest Fund (managed by the African Development Bank) and the Japanese government (especially to MRV activities). The Government is also actively seeking the support from other partners.

Considering the level of priority for each REDD Readiness activity, and drawing on the comparative advantages of the agencies supporting the REDD+ Readiness Program in the DRC; the FCPF and the UN-REDD Programme agreed on the activities to be financed by each agency. The description below pertains to those activities to be financed by the FCPF. The FCPF- and UN-REDD-financed activities cover the priority needs for Readiness in DRC.

It should be noted that the activities to be financed by the FCPF in support of the REDD+ Readiness Program in DRC do not include the implementation of REDD+ programs on the ground. The FCPF support is limited to analytical studies, capacity building, and consultation processes at the national and sub-national levels. Through the Readiness Program, the government is expected to identify priority investment needs to achieve the goals of REDD+. These investment needs will be financed by public and private donors and investors and the Government itself, and not by the FCPF Readiness Grant.

<b>Component 1: Support to the coordination of the REDD+ Readiness Process and Multi-stakeholder Consultations</b>	<b>\$1.2</b>
<i>1.1 - Coordination of the REDD+ Readiness Process</i>	<i>\$0.9</i>
Recruitment of national coordinator, financial assistant and international technical assistant	
Recruitment of provincial focal points for REDD	
Capacity building for National Coordination and Provincial Coordinator	
Equipment for national coordination	
<i>1.2 - Promotion of Multi-stakeholder Consultations</i>	<i>\$0.3</i>
Recruitment of a national Information, Education and Communication Specialist	
Preparation of communication material	
Support to national community radio network	
<b>Component 2: Contribute to the design of a national REDD+ Strategy</b>	<b>\$1.3</b>
<i>2a - Preparation of the National REDD+ Strategy</i>	<i>\$0.4</i>
Recruitment of national and international consultant to support preparation of the REDD+ strategy	
<i>2b - Preparation of the REDD+ Implementation Framework</i>	<i>\$0.5</i>
Study on the establishment of a national REDD+ Fund	
Assessment of legal and institutional choices for the REDD framework	
Conceptualization of an Integrated Excellence Center on Climate	
<i>2c - Strategic Environmental and Social Assessment</i>	<i>\$0.4</i>
Consultancy to support the National SESA Commission for REDD in DRC	
<b>Component 3 - Preparation of a National Reference Scenario for REDD+</b>	<b>\$0.6</b>
Support to the national household survey in DRC	
Study on spatial analysis	
Analysis of quantitative data	
<b>Component 4 - Project Management</b>	<b>\$0.3</b>
<b>TOTAL</b>	<b>\$3.4</b>

**COMPONENT 1: SUPPORT TO THE COORDINATION OF THE REDD READINESS PROCESS AND MULTI-STAKEHOLDER CONSULTATIONS (US\$1.2 million)**

**COMPONENT 1.1 - COORDINATION OF THE REDD+ READINESS PROCESS**

i) **Context**

National- and provincial-level institutions will be put in place to coordinate the overall REDD+ Readiness process in DRC. This component will finance the functioning of these institutions, including:

- a) **National REDD Coordination.** The National Coordination was set up in May 2009 and is responsible for: i) daily management of the REDD national coordination and monitoring activities provided in the annual work plan; ii) ensuring the technical secretariat of the National and Interministerial REDD Committees; iii) ensuring coordination of the REDD+ process with other government initiatives and donors; iv) encouraging a participative approach to the REDD+ process through the involvement of and consultation with different stakeholders, particularly forest communities and indigenous populations.
- b) **Provincial structures.** Decentralized structures will be involved in the definition and implementation of the REDD+ strategy. The Government aims to gradually hire one REDD focal point per Province (totaling 11 REDD focal points by the end of 2012), to support the Province-level structures to mainstream REDD into their plans. These Focal Points will be placed directly within the Provincial administration (the exact institutional attachment of these Focal Points is still in discussion in light of the changing decentralization process in DRC). The provincial focal points are expected to support the design of the national REDD+ strategy by ensuring its link with local stakeholders.

ii) **FCPF grant support**

- Recruitment of key positions in the National REDD Coordination, including the National REDD Coordinator, a Financial and Administrative Assistant, and an International Technical Assistant.
- Recruitment of Provincial REDD focal points;
- Capacity building activities for the staff of the national REDD management structures (including the REDD Coordination and the Provincial Focal Points);
- Equipment to the National Coordination.

## COMPONENT 1.2 – PROMOTION OF MULTI-STAKEHOLDER CONSULTATIONS

i) **Context**

Multi-stakeholders consultations are a keystone of the REDD+ Readiness process. A Consultation, Participation and Information Plan (CPI Plan) was prepared in a highly participatory fashion, as part of the R-PP. The Plan has two overall goals: a) inform and raise awareness of key stakeholders to adhere to the REDD+ principles, modify their perception and behavior as relating to deforestation and forest degradation; ii) ensure consultation of stakeholders so as to enrich the process with their views, proposals, experiences and knowledge, and to secure an overall participatory REDD+ process. The Plan has identified six target audiences: the media, civil society, opinion makers, forest populations, indigenous peoples, the State and the private sector. For each targeted audience, the Plan analyzes the needs and determines detailed objectives by specifying the key messages and tools to be mobilized to support message dissemination.

The CPI is in four components:

- i) **Information.** CD-ROMs, calendars, flyers on the work in progress (20,000 copies), articles in newspapers and magazines will be prepared. Radio and television programs are already

- operational and partnerships with national radio stations are being developed for continued cooperation. Written press is also targeted as favored support to ensure media coverage on REDD and on forest preservation in the DRC.
- ii) **Capacity building.** Various events targeted at different audiences will be organized. As an example, the REDD+ International University was organized in August 2010, grouping over 250 participants around various REDD-related topics.
  - iii) **Educational tools.** These will be prepared to encourage information dissemination. A website dedicated to the REDD process in the DRC will be created (with support from the UNDP). Different audiovisual supports will be produced, as well as interviews, reports, analyses, magazines, cartoons etc. Theater plays and the production of radio and television sketches are part of these tools.
  - iv) **Regional consultations.** These regional consultations aims to reach directly 22,500 people spread throughout the country; and more than 400,000 people indirectly. Consultation leaders (hired among civil society members) will be hired and trained to lead the process. They are expected to spend approximately ten days in each national territory to organize multiple round tables, workshops, group discussions, interviews and opinion surveys, broadcasting the information and fostering a network of REDD contact people to spread this knowledge further.<sup>3</sup>
- v) **FCPF grant support**
    - Recruitment of a senior communication specialist at the National REDD Coordination;
    - Implementation of part of the Consultation, Participation and Information Plan (CPI Plan), including the production of various forms of informational material on REDD+ (films, cartoons, radio spots, theater plays, etc.) and the organization of national-level workshops;
    - Support to the national grid of community radios to broadcast REDD-related messages;
    - Review of the national education program, in cooperation with the Ministry of Education, to integrate climate change and REDD+ issues more effectively into the curriculum of national education programs.

## **COMPONENT 2: CONTRIBUTE TO THE DESIGN OF A NATIONAL REDD+ STRATEGY (US\$1.3 million)**

### COMPONENT 2.1 - PREPARATION OF THE NATIONAL REDD+ STRATEGY

#### i) **Context**

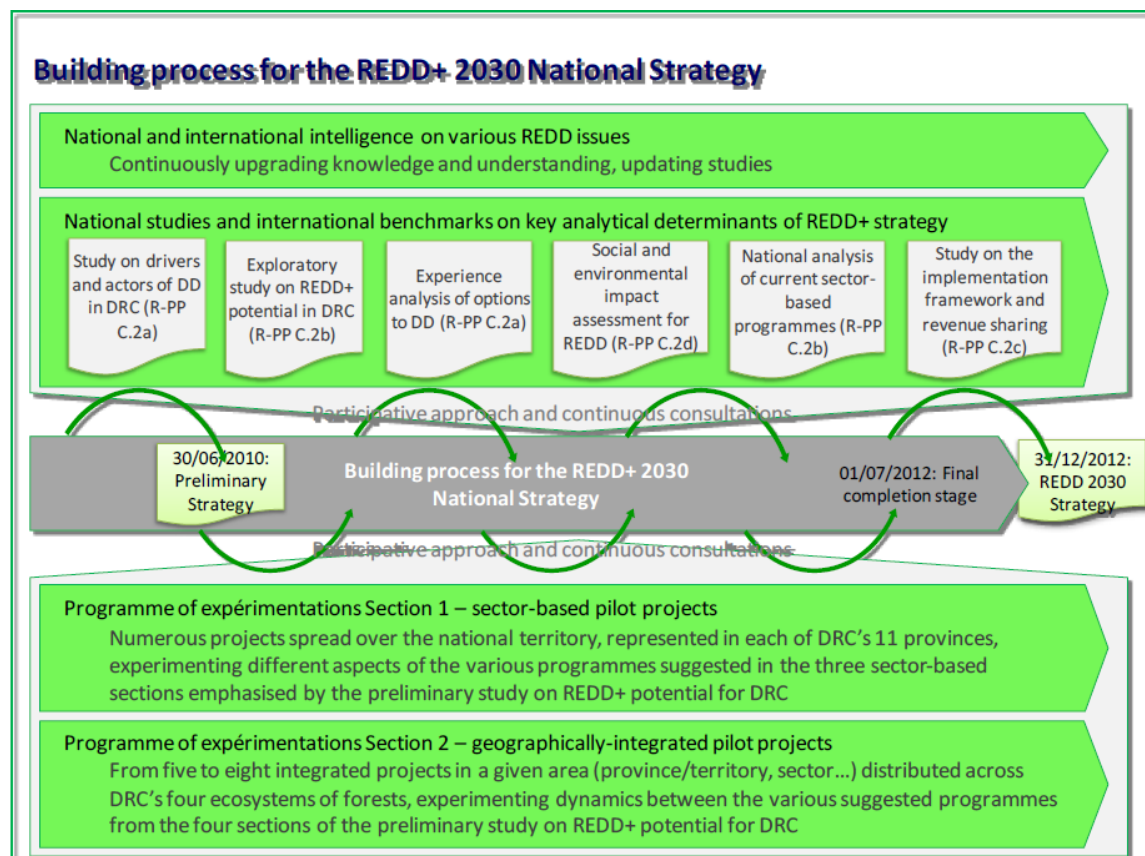
The National REDD+ Strategy in DRC will have two overarching objectives: i) reduce emissions from deforestation and forest degradation; and ii) reduce poverty (as defined in the Poverty Reduction Strategy Paper). The National REDD Committee (along with Provincial REDD Committees) will provide overall guidance for the preparation of the REDD+ Strategy, to be executed by the National REDD Coordination.

The figure below summarizes the process by which the National REDD+ Strategy in DRC will be designed. This strategy design process rests on: 1) analytical studies (causes of deforestation and forest degradation, analysis of ongoing and planned national sector-based programs, analysis of social and

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<sup>3</sup> Note that these regional consultations will be not directly financed by the FCPF grant, but rather by the UN-REDD program.

environmental risks of proposed REDD+ Strategic options (through the SESA approach), among others); 2) follow up of international developments (both emerging international guidance on REDD+ from the UNFCCC, as well as lessons learned from other countries); 3) experimentation through pilot projects (sector-based and geographically-integrated).



ii) **FCPF grant support**

- Strengthening the National REDD+ Coordination capacity to lead the preparation of the National REDD+ Strategy, by recruiting a series of national and international consultants to work on the development of the National REDD+ Strategy,
- Building capacity of the National REDD+ Coordination and other stakeholders on specific topics related to the Strategy, including the preparation of national workshops and organization of study trips.

COMPONENT 2.2 - PREPARATION OF THE REDD+ IMPLEMENTATION FRAMEWORK

i) **Context**

Establishing an efficient, effective and equitable national REDD+ regime will entail various legal and institutional reforms. This is a particularly challenging exercise in DRC, which faces complex governance issues in the forest sector, and overall in the natural resources domain. With the support of various technical and financial partners, including the World Bank, the country has embarked on



an ambitious program of institutional reforms in the forest sector, which is ongoing at present. Any legal or institutional development related to REDD+ will have to consider this broader institutional and legal reform process in course.

ii) **FCPF grant support**

- Conducting legal and institutional analysis associated with the establishment of a national REDD+ regime, including analysis of:
  - Legal, financial and administrative aspects of establishing a national REDD+ fund in charge of managing and of allocating REDD+ financing according to priorities set in the REDD+ strategy;
  - A legal and institutional assessment of choices for a national REDD framework (including options of mechanisms for benefit sharing, and analysis of forest carbon rights).
  
- **Integrated Excellence Center on Climate.** This Center will have the goal of fostering knowledge production and dissemination on issues related to climate change, most notably issues related to forests and climate change. The Center is expected to offer training on cutting-edge issues nationally, regionally (Congo Basin countries) and internationally. It should be directly linked to an existing national institutions (discussions are ongoing with ERAIFT (*Ecole Régionale post-universitaire d'Aménagement et de gestion Intégrés des Forêts et Territoires tropicaux*). The specific institutional arrangements for its functioning will be analyzed during the REDD Readiness process, and in consultation with other regional bodies (such as the COMIFAC).

The FCPF would support: i) a strategic study on the expertise that will be required in the medium- and long-term in DRC to allow the country to fully participate in a REDD+ mechanism; ii) recruitment of a consultant to design a capacity building program.

## COMPONENT 2.3 – PREPARATION OF A STRATEGIC ENVIRONMENTAL AND SOCIAL ASSESSMENT

i) **Context**

REDD+ offers the potential for DRC to adopt a new development model based on the value of standing trees, by reducing forest cover loss and tackling rural poverty. However, REDD+ also brings new challenges to the government and to local communities. In order to assess the potential risks associated with the National REDD+ Strategy and its Implementation Framework, as well as to consider potential alternatives and mitigation actions, the country will conduct a Strategic Environmental and Social Assessment (SESA) of the national REDD+ process, including the preparation of an Environmental and Social Management Framework (ESMF).

The SESA exercise in DRC will be led by the National SESA Overseeing Committee, composed of representatives from the government, civil society and private sector. The SESA will be closely aligned with the overall REDD Readiness process, including the consultations to be carried out as part of the Consultation, Participation and Information (CPI) plan discussed above. The Committee

will also ensure that the SESA process in DRC takes into account the overall REDD+ Readiness process ongoing in the country, including the results of other relevant studies. The SESA exercise should generate information to feed into the process of preparing a final REDD+ Strategy.

Consultants will be hired to execute the work plan agreed by the SESA Committee. SESA will be conducted in two stages:

- ii) a comprehensive study will be carried out by a mix of international and national consultants in 2011, addressing the following main issues: a) analysis of the initial social and environmental situation around the deforestation issue in DRC, including an analysis of the preliminary REDD+ strategy; b) analysis of potential impacts of the business as usual scenario (without REDD+ activities); c) analysis of the potential social and environmental risks of the preliminary REDD+ strategy, including the draft Investment Strategy for the Forest Investment Program (FIP); d) preparation of an Environmental and Social Management Framework (ESMF) to mitigate the residual risks of the strategy. This phase should generate important elements to feed into the process of preparing the national REDD+ strategy;
- iii) the Environmental and Social Management Framework (ESMF) will be updated at the end of the Readiness process (nearing the preparation of the REDD Readiness Package). This is to ensure that all new elements of the Readiness process (updated to the REDD+ Strategy, details to the implementation framework eventually including passed legislation and so on) are considered in the final ESMF.

Consultations during the preparation of the SESA will be carried out as part of the larger and ongoing consultation process for the overall REDD Readiness process.

#### iv) **FCPF grant support**

This component will finance primarily consultants in charge of the preparation of the two phases of the SESA exercise, including the development of an Environmental and Social Management Framework for the REDD+ process in DRC. In addition, this component will finance some of the costs associated with the functioning of the National SESA Overseeing Committee. The Terms of Reference for the preparation of the SESA in DRC can be found in Annex III.

### **COMPONENT 3: PREPARATION OF A NATIONAL REFERENCE SCENARIO<sup>4</sup> FOR REDD+ (US\$ 0.6 million)**

#### i) **Context**

Establishing a national reference scenario of emissions from deforestation and forest degradation is one of the key pillars for a national REDD+ regime. A future international REDD+ mechanism is likely to compensate countries for reduced emissions below a certain established reference scenario, which is derived from historic deforestation as well as projected future deforestation. The modalities for establishing a national reference scenario are still to be worked out at the international level (by the

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<sup>4</sup> The use of 'national reference scenario' in this document is supposed to encompass both Reference Emissions Levels and Reference Levels. **Reference emissions level** (REL) is the amount of *gross emissions* from a geographical area estimated within a reference time period (used for activities related to reduced emissions from deforestation and forest degradation). **Reference level** (RL) is the amount of *net/gross emissions and removals* from a geographical area estimated within a reference time period (used for activities related to the expanded scope of REDD+, namely conservation of forest carbon stocks, sustainable management of forest, and enhancement of forest carbon stocks).

SBSTA<sup>5</sup>) and the work in DRC on this topic will require a fair amount of exploration of alternative approaches and coordination across sectors. It should also be noted that the establishment of a national reference scenario is partly a technical exercise (exploration of scenarios and modeling) and a political decision (through the climate negotiations). Finally, the work on reference scenarios will strengthen the country's capacity and position to participate in the next rounds of climate negotiations in this regard.

According to emerging guidance from the UNFCCC, when setting their national reference scenarios, countries should do so “transparently, taking into account historical data, and adjust for ‘national circumstances’”. Information provided on national circumstances is critical for clarifying a country’s vulnerability, its capacity and its options for adapting to the adverse effects of climate change, as well as its options for addressing its GHG emissions within the broader context of sustainable development

ii) **FCPF grant support**

FCPF financing will support DRC in carrying out the analysis of ‘national circumstances’<sup>6</sup>, basically by analyzing: i) the socio-economic context of the country (analytical review of all the available socio-economic data, notably those related to the DRC’s forests); ii) sustainable development needs (analysis of existing projections of the main variables linked to deforestation, such as infrastructure development, agriculture expansion, mining, etc.); iii) modeling future deforestation (this analysis will use the results of the socio-economic and sustainable development studies and seek to qualify and quantify the impact of possible future emissions and removals). The REDD readiness grant will also provide support to the national household survey, led by the National Statistics Institute with support from various Ministries.

**COMPONENT 4: GRANT MANAGEMENT (US\$ 0.3 million)**

i) **Context**

Fiduciary management (procurement and financial management) of the FCPF REDD+ Readiness Support Activity will be ensured by the existing Coordination Unit of the WB-financed Forest and Nature Conservation Project (CU-FNCP). This will foster economies of scale and closer alignment between the two programs.

ii) **FCPF grant support**

This component will finance the management fees of the CU-PFCN, that is, the incremental costs incurred by the CU-PFCN to ensure the fiduciary management of the FCPF grant. It will also finance the external audits for the grant.

**2. Key Risks and Issues**

Key risks are linked to:

- a. **Stakeholders.** REDD+ is a mechanism still under discussion internationally and has attracted much attention from various groups of stakeholders. While there is widespread support for the establishment of an international REDD+ mechanism that would reward countries for reducing emissions from deforestation and forest degradation, various concerns have been raised about how a REDD+ mechanism would work at the country level. At

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<sup>5</sup> Subsidiary Body for Scientific and Technological Advice of the UNFCCC.

<sup>6</sup> Analysis of historical emission from deforestation and forest degradation will be carried out with FAO (UN-REDD) support.

present, the REDD+ Readiness process in DRC enjoys support from most stakeholders in the country, including national civil society, as so far it has shown an appropriate level of consultation and put in place participatory mechanisms for multi-stakeholder engagement in the process. There is a risk is that this support is eroded, should the participatory and consultative approach to the Readiness process not be maintained throughout the process, especially when key decisions, such as those in benefit sharing mechanisms or carbon property, are made. In addition, there is a risk of elite capture of REDD revenues, preventing those from reaching local forest-dependent communities. Finally, stakeholder expectations for receipt of large near term payments for REDD+ are high and may not be realistic.

*Mitigation measures* include: i) conduct a SESA, which will identify social and environmental risks arising from the national REDD+ Strategy, and which should also support the identification of mechanisms to ensure transparent benefit sharing; ii) project team will maintain close communication with national and international NGOs (both at the country level and internationally, with support from the FCPF Management Team); iii) FCPF grant is supporting the recruitment of a senior communication specialist; iv) project team will ensure to manage expectations throughout project implementation.

- b. Governance.** A national REDD+ system will need to involve different levels of the government and various stakeholders. REDD+ revenues need to reach beneficiaries on the ground, mainly forest-dependent communities. In the past, revenue sharing across government levels in DRC has not worked properly. REDD+ can only succeed in a context of good governance – where rules for carbon transactions are transparent, revenue sharing schemes are known to stakeholders and respected and funds are managed properly. Finally, some policy decisions on the national REDD+ legal framework will require strong levels of government commitment.

*Mitigation measures* include: i) providing support to the government in creating clear rules for carbon transactions and in strengthening the capacity to implement those; ii) support the establishment of clear rules on benefit sharing of REDD+ revenues; iii) support the functioning of the National REDD+ Committee and the National Interministerial Committee.

- c. Fraud and Corruption.** DRC faces high level of corruption across sectors. Mismanagement of REDD+ funds is a major risk for a national REDD+ system, which could lead to failure of the process.

*Mitigation measures* include: i) Conducting an assessment of REDD+ funds management options, based on international benchmarks and past national experiences; ii) communicating effectively with government that without a transparent fund management structure the government is unlikely to receive funds; iii) articulate the message with other donors.

- d. Safeguards.** A Strategic Environmental and Social Assessment (SESA) will be conducted as part of the Readiness process, to identify social and environmental risks from the national REDD+ strategy, and ensure that these risks are considered in the final strategy. Current in-country capacity for implementing the Strategic Environmental and Social Assessment

(SESA) is limited but a number of projects funded by the Bank (FNCP) and other donors have started to remedy this situation.

*Mitigation measures* include: i) Close supervision of the preparation of the SESA; ii) WB participation in the National SESA Overseeing Committee; iii) continued capacity building to the national members of the SESA Committee.

- e. **Overall funding of REDD readiness.** Achieving REDD readiness in DRC will take considerable more resources than those that the FCPF is able to make available at this stage. Hence, there is a risk that REDD+ Readiness is not achieved, if the country is not able to leverage additional resources to accomplish the REDD Readiness process.

*Mitigation measures* include: i) The FCPF will finance priority activities to allow the REDD+ readiness process to move forward; ii) the WB can use its convening power to support the country in leveraging additional resources.

## **B. Implementing Agency Assessment**

The National REDD Coordination was set up in May 2009 and will be in charge of the overall technical implementation of the REDD+ Readiness process in DRC, including the activities financed by the FCPF. The fiduciary management (financial and procurement) will be delegated by the REDD Coordination to the Coordination Unit of Forest and Nature Conservation Project (CU-FNCP), due to the latter's fiduciary capacity. A Memorandum of Understanding between the National REDD Coordination and the CU-FNCP, specifying the roles and responsibilities of the CU-FNCP in terms of grant fiduciary management, has been prepared and will be signed prior to the grant effectiveness.

The REDD Coordination is part of the Ministry of Environment, Nature Conservation and Tourism, directly dependant on the Direction of Sustainable Development. The Coordination is responsible for:

- Ensuring daily management of the national REDD+ coordination and monitoring activities;
- Ensure overall coordination of the REDD+ Readiness process in DRC, including ties with the PNFoCo, other donors (thematic group on forests) and COMIFAC's regional REDD+ process;
- Ensure multi-stakeholder participation in the REDD+ Readiness process.
- Act as the technical secretariat for the National Committee and Inter-ministerial Committee.

The National REDD Coordination (henceforth "the Coordination") is currently staffed with a National Coordinator, a Chief Technical Advisor, three international technical experts, two senior national technical experts, two junior national technical experts, a communication specialist and two administrative and financial assistants (one supporting the UN-REDD program, and the other the FCPF). The organizational chart of the Coordination is found below.

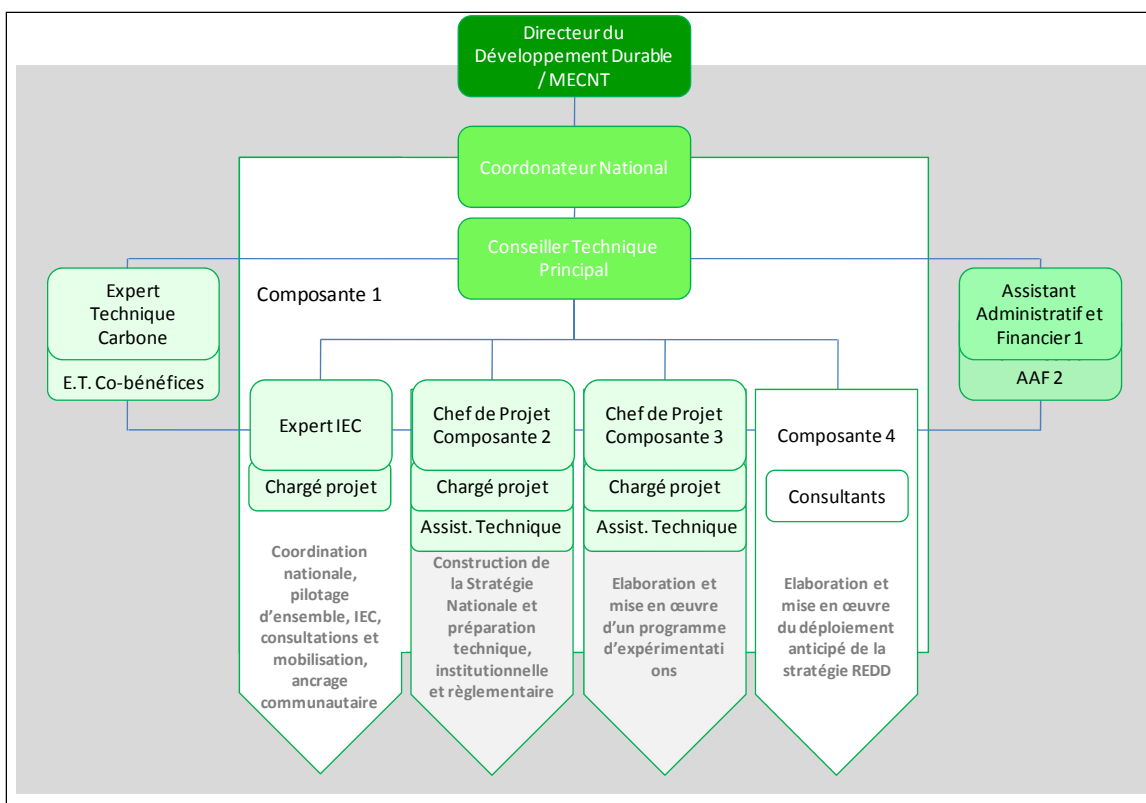


Figure 1 – Organizational chart of DRC's National REDD Coordination

The Coordination today is well equipped with national and international expertise necessary for effectively coordinating the REDD+ Readiness process. It enjoys the full support from the Minister of the Environment, and buy-in from other units in the Ministry. A continued challenge now is to make sure that the knowledge being generated within the Coordination is shared with the broader staff of the Ministry of Environment and beyond.

### C. Project Stakeholder Assessment

REDD+ is essentially a multi-stakeholder process, since it involves the interests of a multitude of actors. The REDD+ Readiness process in DRC places a strong emphasis on consultations and on the creation of participatory mechanisms to ensure multi-stakeholder engagement.

A decree by the Prime Minister (N°09/41) was signed on November 26, 2009 to establish the National REDD+ institutions in the country.

- A **national REDD committee**, in charge of decisions and orientations, involving all stakeholders, particularly civil society, and representatives from indigenous and local communities;
- An **Interministerial committee**, in charge of overall REDD+ planning;
- **National REDD coordination** in charge of coordinating day-by-day activities, and particularly responsible for the implementation of UN-REDD and FCPF;

The **National Committee's**<sup>7</sup> mission is to: i) define the orientations and guidelines of the REDD+ process and to decide on the actions to be followed ; ii) approve the Inter-ministerial Committee's and National Coordination's respective work plans; iii) monitoring and evaluate the REDD+ process implementation; iv) implement a national fund and establish the forms of management and redistribution of REDD+ benefits. It will consist of 13 members, appointed among various sectors of administration, civil society (notably with representatives from indigenous people), private sector and the academic sphere. It will be chaired by the Secretary General of the MECNT. A first meeting of the National Committee took place in July, 2010.

The **Inter-ministerial Committee**<sup>8</sup> will be responsible for planning the implementation of the National Committee's decisions and assigning responsibility for their execution to the Administration's competent structures. A first meeting of the Inter-ministerial Committee took place in July, 2010.

In order to ensure full participation in the Readiness process, national NGOs have created the **Groupe de Travail Climat REDD (GTCR)**, a network including most NGOs working in the area of environment, forests and rural development, both in the capital and in the provinces. The GTCR has played a very active role throughout the process of preparation of the R-PP, interacting on a daily basis with the National REDD Coordination. The group's dynamics are still evolving and maturing and the structure should be strengthened during the Readiness phase.

The **private sector** has also been involved in the process, even if to a lesser degree at present. The National REDD Coordination maintains constant contact with private entities interested in developing carbon transactions in the country, with the goal of making sure that all of these transactions accord to the rules being established as part of the Readiness process.

#### **IV. Overall Risk Ratings**

The overall risk rating for the project is high.

The REDD+ Readiness process presents a high level of risk, as it depends directly on a series of institutional changes and a conducive governance environment. A successful REDD+ mechanism involves important changes to the existing institutional framework and touches sensitive issues, such as land tenure rights and revenue distribution across government levels. In addition, the program has high visibility internationally, due to the high stakes of REDD+ for various stakeholders (including vulnerable forest-dependent communities). Stakeholder expectations for receipt of large near term payments for REDD+ are high and may not be realistic.

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<sup>7</sup> The composition of the National REDD Committee is as follows: 1 member from the President's office, 1 member from the Prime Minister's office, 3 members of the Ministry of Environment, 1 member from the Ministry of Decentralization, 1 member from the Ministry of Agriculture, 1 member of NGO working in the environment sector, 2 representatives of forest communities and indigenous peoples, 2 members from the private sector, 1 member from academia.

<sup>8</sup> The following Ministries integrate the Inter-Ministerial Committee: Environment, Agriculture, Land Issue, Urban Planning and Habitat, Plan, Finance, Mines, Energy.

## V. Proposed Team Composition and Resources, including Technical Assistance Provided by Bank Staff to Date

The World Bank has collaborated closely with the UN-REDD Program (FAO, UNDP and UNEP) in providing technical assistance to the government throughout the preparation of the R-PP. The REDD+ Readiness process in DRC was launched at a joint FCPF & UN-REDD mission in January 2009, when a roadmap for the preparation of the R-PP was agreed among the Government and partners, including civil society. Follow-up joint missions took place on May and October 2009 and February 2010, allowing for an open and transparent exchange of views on the national Readiness process with all stakeholders. The foundations for the REDD+ Readiness Program in DRC were proposed at these missions, including the existing institutional arrangements for REDD+ Readiness (National REDD Coordination, National REDD Committee and Inter-ministerial REDD Committee). The missions also supported the organization of civil society's Working Group on Climate and REDD (GTCR). It should also be noted that these joint missions allowed the FCPF and UN-REDD programs to develop a strong level of coordination, which is now regarded as an international model.

The World Bank has mobilized specific technical expertise to respond to the Government's needs. A social specialist has contributed to the establishment of a dialogue between the country and civil society, and provided feedback to the R-PP consultations planned. A REDD+ Methodology specialist was active in the organization of national-level workshop on MRV, where the basis for a future national MRV system were discussed. Forest specialists provided feedback to the preliminary REDD+ Strategy, and a carbon finance specialist provided insights on the REDD+ implementation framework. The World Bank's engagement in the national REDD+ Readiness Program in DRC has gone as far as posting a dedicated staff in the Kinshasa country office to support the program.

The Bank, through a Multi Donor Trust Fund, financed the Exploratory Analysis of REDD+ potential in DRC, carried out with support from McKinsey and presented during the Conference of the Parties to the UN Framework Convention on Climate Change held in Copenhagen in December 2009. In addition, the Bank has provided a grant to the GTCR to carry out REDD+-related sensitization campaigns and capacity building in the main forested provinces in the country. Finally, the FCPF is making available technical expertise in the areas requested by DRC, such as the establishment of a national registry of REDD+ projects and initiatives.

The FCPF Participants Committee provided feedback for DRC to improve its final R-PP, through resolution PC5/2010/1. The comments have been addressed in the final version of the R-PP, delivered to the FCPF FMT in July, 2010. The table below presents the issues highlighted by the PC and the response provided in the final R-PP.

Issue	Response in the revised R-PP
<b>Clarify how feedback from various stakeholder groups would be gathered and how they would feed into the REDD+ Strategy design</b>	For every possible REDD+ Strategy Option identified, a Thematic Coordination Group (TCG) will be established with the goal of checking the ToR for relevant studies, providing comments and exploring lessons from pilot projects, mobilizing the required expertise and carrying out consultations to build the



<p><b>process.</b></p>	<p>case for the option. Each TCG will be facilitated by a member of the National REDD Coordination and will bring together relevant experts and stakeholders from public administrations, NGOs and civil society, private sector and other partners. They will be set up in an open and transparent manner, during a workshop to be held in September 2010, gathering relevant Ministries and stakeholders of REDD+ national process. The list of all TCG and their associated leaders will be formalized by the Ministry of the Environment. The box on page 64 clarifies this work.</p>
<p><b>While the R-PP proposes the creation of many new institutions at national and provincial levels, the R-PP should better articulate if and how the mandates of existing institutions could be adjusted to take on these new roles.</b></p>	<p>The R-PP clarifies that most REDD+-related tasks will be assured by existing institutions (on page 66 the word "organ" is replaced by "function", to highlight this point). The upcoming analysis on the implementation framework and revenue distribution should identify concrete options to streamline the process and minimize the creation of new institutions. The R-PP notes, however, that in many cases existing institutions will need to be reinforced to take on new roles since new REDD+-specific functions will emerge.</p>
<p><b>Clarify the role of civil society organizations and local communities in the national MRV system. Their capacity need should be included in the capacity building strategy.</b></p>	<p>The R-PP (pg. 22) states that "(...) civil society will play a role in data monitoring and validation". The REDD Coordination also clarified that Component 4a should be considered in its context: the R-PP details a strategy for a national MRV system able to monitor and report GHGs emissions and removals at the national and sub-national levels. This system should allow DRC to monitor its forest cover and report on it. However, this is not the Monitoring system that DRC will use to implement and monitor its REDD+ policies and measures. Civil society should play a key role in the monitoring of the implementation of the REDD+ policies and measures. The details of the monitoring system of REDD+ policies and measures are yet to be further developed in DRC.</p> <p>The following changes to the R-PP also clarify the participation of civil society in the MRV system:</p> <ul style="list-style-type: none"> <li>- p84: "As much as possible, work will be carried out in close relation with the local communities, civil society under the coordination of GTCR, different government agencies and institutions and the private sector. The local communities can offer support to the DIAF and DDD with regard to the verification of some data and activities in the field. Civil society under the coordination of GTCR will be involved in training, implementing the SLMS system and verifying certain data and activities in the field. The role of private sector, local communities and indigenous people in field measurements will be clarified between stakeholders (cf. Box page 22)."</li> <li>- p93: "Measurement, associated with producing basic data, will</li> </ul>

	<p>be provided by the State, probably in cooperation with other partners. From the national to the local level, State agents and probable partners will be responsible for collecting information according to different methods (observations, surveys and polls, studies of official records, etc.). To each indicator corresponds a labeled form specifying the methods for gathering data (source, method, responsible, period, perimeter and exact data definition, etc.). Various REDD+ stakeholders might be mobilized for this process, particularly local communities, indigenous people and the private sector, which are experienced in managing the flow of local and national information to manage their projects or business. The modalities of such partnerships still remain to be discussed and clarified.”</p>
<p><b>The budget should clearly indicate what priority activities will be financed by FCPF &amp; UN-REDD. In addition, the national strategy for mobilizing additional resources for the REDD+ Readiness process and the fiduciary arrangements for the management of these funds should be clarified.</b></p>	<p>Annex 5 has been added to the R-PP. It presents a chronogram of activities, detailing what will be carried out, timing and sources of funds. Basically, UN-REDD and FCPF support should finance priority activities, as well as key coordination components to ensure coherence and continuity of the process. UN-REDD support was also targeted to most urgent activities since it is expected to come earlier than that of the FCPF. The activities requesting co-financing at this stage are planned for 2011 or 2012. Thus, the approved support from UN-REDD and FCPF secures the implementation of the readiness plan for the year 2010, most of the year 2011, and secures the overall coherence of the process up to December 2012.</p> <p>Concerning the extra financing required to complete the R-P, an action plan to raise funds was prepared and endorsed by the Minister of Environment. A donor roundtable is planned for early September 2010, to sensitize donors on financial needs for the process. Finally, the CBFF (Congo Basin Forest Fund) has given positive signal and shall be requested to complete the co-financing gap by the end of the year 2010.</p>

### Team Composition

Name	Title	Unit
Simon Rietbergen	Sr. Forestry Specialist	AFTEN
André Aquino	Carbon Finance Specialist	AFTEN
Paul Martin	Sr. Environmental Specialist	AFTEN
Carole Megevand	Natural Resources Management Specialist	AFTEN
Mohamed Arbi Ben-Achour	Lead Social Development Specialist	AFTCS
Mohammed Bekhechi	Senior Counsel	LEGEN
Alexander Lotsch	Senior Carbon Finance Specialist	ENVCF
Marc Rodriguez	Social Specialist (Consultant)	AFTEN

Philippe Mahele Liwoke	Sr. Procurement Specialist	AFTPC
Gaspy Gedeon Muanda	Financial Management Specialist	AFTFM
Jeanine Nkakala	Team Assistant	AFCC2

## **VI. Assessment Summary**

### **A. Technical**

The activities to be financed by the FCPF have been selected after technical discussions with the National REDD Coordination (Ministry of the Environment). They consider the technical and financial needs of DRC's REDD+ Readiness process, the World Bank's comparative advantages, as well as support provided by other partners (mainly UN-REDD). Many technical activities to be supported by the FCPF grant will directly inform and be coordinated with others, such as the work on national reference scenarios. The planning team clearly identifies critical interfaces between components and proposes activities that are complementary and mutually enhancing. Still, careful coordination and timing of multiple donor activities during the grant implementation phase will be crucial.

An important technical area to be supported through the FCPF grant is on national reference scenarios which will be a key input to setting national reference emission level (REL) or reference levels (RL) through the UNFCCC process. As a country with a historically low deforestation rate, DRC's efforts in this regard will not only have to focus on a sound analysis of historical patterns of forest cover change, but also perform analyses on the effect of future development on forest-related emissions (i.e. account for national circumstances to determine a level of emission reductions that is consistent with the country's development objectives). The R-PP identifies critical analytical activities and potential international partners to carry-out this work, and acknowledges the necessary and relatively significant capacity building needs and inter-ministerial coordination. In this context it is important to note that the modalities for REL/RL are still to be defined through the UNFCCC and the work in DRC on this topic will thus require a fair amount of exploration of alternative approaches. As future REL/RL will be determined through an international process (informed by technical studies as the ones proposed in the R-PP), work on reference scenarios will strengthen the country's capacity and position to participate in the next rounds of climate negotiations.

### **B. Financial Management**

The financial management capacity assessment was conducted in line with the Financial Management Practice Manual for World Bank-Financed Investment Operations that became effective on March 1, 2010. The objective of the assessment is to determine whether the implementing entities have acceptable financial management arrangements, which will ensure: (i) the funds are used only for the intended purposes in an efficient and economical way, (ii) the preparation of accurate and timely periodic financial reports, and (iii) safeguard the entities assets.

The financial management arrangements for the project have been designed with consideration for the country's weak PFM system. The arrangements aim to facilitate disbursements and to

ensure effective use of project resources and funds while using the country's own systems to the extent possible. To this end, overall coordination of the project's financial management aspects will be managed by the **Coordination Unit of the Forest and Nature Conservation Project (CU-FNCP)**, implemented by the MECNT with IDA funds.

The CU-FNCP will be the Bank's main counterpart and focal point for fiduciary aspects. It will oversee the entire fiduciary management of the FCPF grant including management of the funds and the designated account and will primarily be responsible for: (i) handling financial and administrative management; (ii) disbursement; (iii) procurement; and (iv) auditing. The FM team of the PFCN is composed of (i) one Finance Manager; and (ii) one Accountant.

An assessment of the capacity of the Coordination Unit of the Forest and Nature Conservation Project (CU-FNCP) was conducted and the conclusion is that the financial management arrangements for the project meet the Bank's requirements under OP/BP 10.02 and are adequate to provide, with reasonable assurance, accurate and timely information on the status of the project required by IDA. The FNCP Coordination Unit has satisfactorily implemented the US\$2 million preparation grant for the Forest and Nature Conservation Project (Q5600 and Q6310) and US\$ 7 million grant funds under the Multi Donor Trust Fund (MDTF) for strengthening governance for natural resources (DRC-Forest).

The FM unit is staffed with an experienced financial specialist and accountants who are familiar with Bank's FM procedures and have established a sound financial management system. The computerized accounting system is effective that will be expanded to the proposed Grant.

Existing systems include the following arrangements:

- a) Timely recording and reporting of transactions and maintenance of up to date accounting records and vouchers;
- b) Preparation and presentation of quarterly and annual financial reports;
- c) Documentation of accounting and internal control processes to ensure that every transaction is duly authorized and properly recorded on the basis of a segregation of duties, and that, at the end of each month, the reconciliation of the designated account is systematically done; and that assets are safeguarded;
- d) The ability to produce periodic financial information, including cumulative project funds in flow, expenditures by disbursement category and by component, and closing cash and bank balances;
- e) Appropriate staffing to carry out the above functions.

The current residual risk rating for FM is rated at Moderate.

**Financial Management Supervision.** The fiduciary functions of this project are centralized and managed by the Coordination Unit anchored within the MECNT (CU-FNCP). In accordance with the risk-based approach, FM supervision will vary according to the level of risk and will aim to ensure that the funds are used for the intended purpose and provide support when need be. On the basis of the current FM risk level, it is expected that two annual supervision missions will be carried out during the first year to support the project implementation, shifting to one annual supervision mission when appropriate. These supervision efforts will comprise IFR and on-site

reviews, and will be complemented by continued assistance to be provided by the Bank team based in Kinshasa.

The use of PFCN FM team to manage the financial management aspects will enable the establishment of a financial fiduciary management system for the RP-FCPF/REDD that satisfies the Bank's minimum requirements under OP/BP 10.02. At the last FM supervision mission to the UC-FNCP, FM was rated at moderately satisfactory.

The key FM actions for the implementation of FCPF grant are: (i) signature of a Memorandum of Understanding between the National REDD Coordination and the CU-FNCP; (ii) assignment of an accountant to work on the grant; (iii) the configuration of the accounting software (3 months after effectiveness); (iv) updating the FM procedures manual. These actions would be completed in a timely manner to help implement the operations.

**Disbursements.** The grant will finance 100% of eligible expenditures inclusive of taxes. The grant proceeds can be withdrawn using three disbursement methods (Advance, Reimbursement and Direct Payment). A designated account will be opened by the CU-FNCP in a commercial bank acceptable to the Bank. Upon grant effectiveness, an initial advance up to a ceiling of US\$400,000 will be made to the designated account and subsequent advances will be made upon reporting on the use of the initial advance. Applications for withdrawal will be supported with Statements of Expenditures (or records documenting the eligible expenditures) during the first year of implementation. Thereafter, the project will be evaluated for conversion to report-based disbursements using quarterly Interim Financial Reports subject the project maintaining satisfactory FM and Disbursement performance over that period.

### **C. Procurement**

The procurement capacity of the CU-FNCP is assessed by the Senior Procurement Specialist on a continuous basis through frequent visits to the Unit, including during the supervision missions for the IDA Forest and Nature Conservation Project. The assessments recommended strengthening CU-FNCP's capacity through specialized technical assistance and training. For the time being, the CU-FNCP has shown some progress in the procurement area due to the technical assistance provided by BCECO, but there is still room for improvement. Accordingly, the rating procurement capacity of the CU-FNCP is moderately satisfactory.

The risks factors for procurement performance include those posed by the country context and those due to the low procurement capacity of MECNT. Regarding the country context, the last Country Procurement Assessment Review (CPAR) published in 2004 and the experience of other World Bank assisted projects indicate that procurement on the projects is likely to involve the following risks:

- 1.-A weak governance environment, insufficient accountability, and an overall lack of transparency in conducting procurement processes entail a significant risk of corruption, collusion and fraud.
- 2.-The administrative system as it operates in practice creates opportunities for informal interference in the procurement process by senior officials and politicians, which may result in waste, mismanagement, nepotism, corruption, collusion, and fraud.
- 3.-Government officials who are involved in procurement through tender communities may not be familiar with procurement procedures.

4.-For certain kinds of goods and works, only a few companies are interested in providing them under the current conditions, especially in the eastern part of the country, where goods may be in short supply available only at exorbitant price.

The main recommendations of the 2004 CPAR were to (i) prepare and approve a public procurement code, (ii) do a survey of the existing capacity on procurement, (iii) make a needs assessment of the institutional and human capacity requirements for public procurement in the country, and (iv) prepare a plan of action for the procurement reform. All these recommendations have been implemented and the new procurement code has been promulgated on April 27, 2010.

**Procurement Supervision.** As the overall project risk implementation for procurement is high due to the Country context and the moderately satisfactory procurement capacity of the implementing agency, the following risk mitigating measure will be applied: the procurement activities will be carried out by the Coordination Unit of the Forest and Nature Conservation (CU-FCNP), which is staffed with two Procurement Specialists and benefits from Technical Assistance on procurement from BCECO (Bureau Central de Coordination). BCECO is a well known PIU (Project Implementation Unit) and its procurement capacity has been found acceptable by the Bank. BCECO will guarantee the internal quality review of the procurement processing based in the contract signed between BCECO and MECNT on August 31, 2009. A procurement Specialist will be placed within the REDD National Coordination to serve as focal point for all procurement related matters of the DRC REDD Project.

## **D. Social and Environmental (including Consultation, Participation, Disclosure and Safeguards)**

### **D. 1. Social (including Safeguards)**

The FCPF Readiness Preparation grant must comply with World Bank safeguard policies regarding the management of environmental and social impacts. This grant will, in part, support the country's activities to identify the potential risks associated with REDD+ and mitigation options. In order to do this, the FCPF is using a Strategic Environmental and Social Assessment (SESA) to integrate key environmental and social considerations into REDD+ Readiness by combining analytical and participatory approaches. The SESA allows: (i) social and environmental considerations to be integrated into the REDD+ Readiness process, in particular the REDD+ strategy; (ii) stakeholder participation in identifying and prioritizing key issues, assessment of policy, institutional and capacity gaps to manage these priorities and recommendations, and disclosure of findings in the REDD Country's progress reports on Readiness preparation; and (iii) an Environmental and Social Management Framework (ESMF) to be put in place to manage environmental and social risks and to mitigate potential adverse impacts. The SESA has been identified as the most appropriate instrument to ensure a proper consideration of social dimensions in the REDD+ process, in line with the international best practices (including the WB policies). The FCPF financing will support the country in putting in place the framework to manage social and environmental risks of REDD+ operations, but the responsibility for the implementation of this framework lies with the government and with those financing each operation.

National institutional capacity for the monitoring and implementation of safeguards is very weak in the DRC, at all levels (national, provincial and local) and across Ministries (environment, agriculture, mines, land issues). The body mandated by Ministerial decree to review and approve the evaluation of social and environmental impact assessments, the *Groupe d'Études Environnementales du Congo (GEEC)*, does not have the human and technical resources to effectively carry out its mandate. At the provincial level, government agencies (including those attached to the Ministry of Environment) often do not have the equipment necessary to monitor social and environmental impacts, their staff lacks training, and management capacity is very thin.

National capacity for the implementation of the World Bank's Indigenous Peoples Operational Policy (OP 4.10) is also very weak. The national legal and institutional framework for involuntary resettlement does not conform to the standards of the Bank's Operational Policy on Involuntary Resettlement (OP 4.12). Nevertheless, there is no direct conflict between the Bank's policy and national legislation, but rather a difference in the level of standards imposed.

A new law – *Loi Cadre sur la Gestion et la Protection de l'Environnement* – is presently being discussed in Parliament and, inter alia, mandates the creation of a National Environment Agency (*ANE – Agence Nationale de l'Environnement*), which would replace the GEEC as the national agency with overall responsibility for social and environmental impact assessments. It is expected that the creation and initial functioning of this agency will be supported by World Bank operational projects, including the Promines project, which is expected to provide USD 3 million to the establishment of the Agency. DRC's R-PP would also set aside financing (USD150,000) for the support of ANE's activities, as it is supposed to play an important role in the Strategic Environmental and Social Assessment (SESA) process, as well as in analyzing the social and environmental impacts of REDD+ projects.

In addition, the World Bank funded Forest and Nature Conservation Project is strengthening national capacities to design, implement, and monitor safeguards. The project will support the creation of a social and environmental unit attached to the Ministry of the Environment and will reinforce environmental and social management capacity at the provincial level and within the Congolese Nature Conservation Institute (ICCN).

The Strategic Environmental and Social Assessment (SESA) for the National REDD Readiness process will be led by the National REDD Coordination and carried out through inclusive consultations, and in close coordination with other analytical studies (please see the graph below). The exercise will be directly supervised by a National SESA Overseeing Committee, made up of representatives from government, civil society, and the private sector. This Committee will be in charge of overseeing the preparation of the SESA and of ensuring it feeds into the preparation of the National REDD+ Strategy.

The SESA exercise itself will assess the national capacity needs required for the country to be capable of monitoring and implementing the safeguards related to a national REDD+ mechanism and will make recommendations for institutional strengthening. The grant will also finance various capacity building activities for this group.

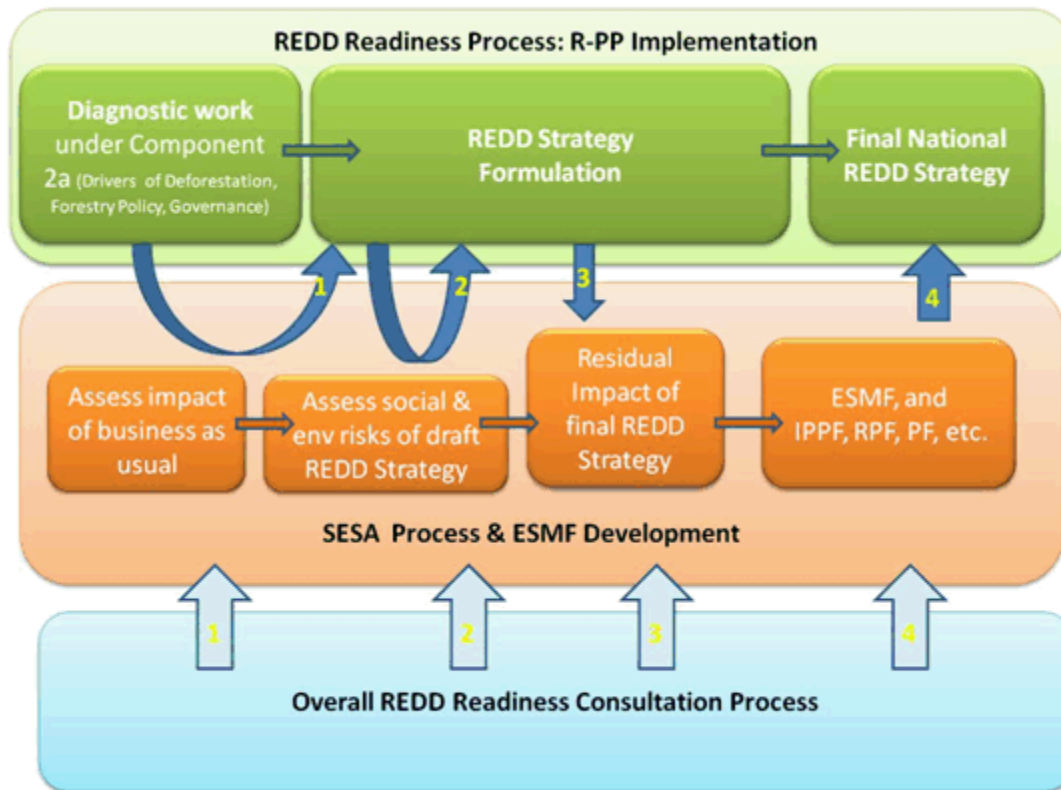


Figure 2 - The SESA design process and link to other REDD Readiness activities

## D.2. Environmental (including Safeguards)

While the overall environmental impact of the REDD+ process is expected to be strongly positive, the Grant will fund the preparation of a Strategic Environmental and Social Assessment (SESA) to ensure that the design of the REDD+ program, and the future implementation of activities with REDD+ resources, adhere to the requirements of World Bank safeguard policies. In particular, the SESA will (i) develop an Environmental and Social Management Framework (ESMF), which will include application of the requirements of the Bank’s policies on Natural Habitats (OP 4.04) and Forests (OP 4.36), (ii) prepare an Indigenous Peoples Planning Framework, and (iii) reflect the Process Framework already developed under the ongoing Bank-supported protected areas project, to protect the rights and livelihoods of indigenous pygmy groups during the establishment of new protected areas.

## D.3. Consultation, Participation and Disclosure

### i. Experience to Date

The R-PP preparation process in DRC has been largely participatory, with a series of consultation activities, including national and provincial workshops, focus groups discussions, dissemination of communication material and outreach to national media. Particularly important is the strategic partnership between the National REDD Coordination and the Working Group on Climate and REDD (Groupe de Travail Climat REDD) of DRC’s national civil society. This Working Group bring together a large array



of representatives of DRC's civil society, including representatives of indigenous peoples. This Group was closely associated in all preparation phases of the R-PP, including the organization of regional consultations. Members of this group have also attended a series of international meetings where REDD+-related issues were discussed, including the FCPF Participants Committee meeting in Gabon, the UN-REDD's Policy Board meeting in Nairobi and various other technical workshops.

Various workshops were organized in Kinshasa from April 2009 to February 2010, where various stakeholders met to discuss the issues dealt with in the R-PP, including national and international NGOs, members of the private sector, representatives of various sectors of the national and provincial governments and the legislative branch.

Workshops were also organized in the Provinces (Bas Congo, Orientale Province, and South Kivu), always in partnership with local civil society members and local government representatives.

The recommendations from these workshops and meetings have been largely considered in the R-PP. An example is the case of 'zoning', which has been placed in the center of a national REDD+ strategy, after feedback received in the consultations. The participatory methodology proposed by the zoning exercise can potentially ensure that the interest of population and their diversity will be respected. Another key feedback from the consultations which has also been put in the center of the strategy is the principle that REDD+ has to be achieved without making local populations poorer, but on the contrary, offering them the possibilities for improving their revenues and welfare. The R-PP notes that the design of the REDD+ implementation framework (including the mechanism for managing REDD+ funds and the distribution of revenues) will be guided by the principle that REDD+ benefits have to effectively reach local communities and contribute to their welfare.

## **ii. Proposal Going Forward**

The R-PP includes a Participation, Consultation and Communication Plan. This Plan would be financed over three years (2010-2012) at a budget of USD1.2 million. It includes: i) activities to raise awareness on REDD+-related issues throughout the country, including local workshops led by permanent 'trainers', ii) communication material using different forms of media (fliers, radio, theater, etc.) to be largely shared through the Provincial REDD Focal Points (and the GTCR). The REDD+ Readiness process would also contribute to the national network of community radios and ensure that climate change issues are formally included in the education material of primary students.

The Plan emphasizes education, awareness raising and outreach, and its budget is appropriate to achieve these goals. The Plan, however, is not very explicit on the way the REDD+ Readiness activities will be articulated with existing decentralized structures able to mobilize forest communities (such as the CARGs – Rural Agricultural Management Committees). It is important that the REDD+ process reaches out to these existing local institutions to ensure that the consultation activities go beyond information sharing, to ensure adequate feedback into the strategic options for REDD+ in the country.

It should also be mentioned that a Strategic Environmental and Social Assessment (SESA) will be conducted as part of the national REDD+ Readiness process. The SESA should ensure that social and environmental concerns regarding the REDD+ strategic options being considered by the government are fed into the process of preparation of the National REDD+ strategy. The SESA exercise will rely on the consultations foreseen in the Consultation Plan to elicit these concerns and will bring the concerns back to the National REDD Coordination, responsible for the overall preparation of the National REDD Strategy.

## **D.4. Safeguards Policies triggered**

<b>Safeguard Policies Triggered</b>	<b>Yes</b>	<b>No</b>	<b>TBD</b>
<b>Environmental Assessment (OP/BP 4.01)</b>	<b>X</b>		
The Strategic Environmental and Social Assessment (SESA) to be carried out under the project will serve to identify, avoid, and mitigate the potential negative environmental and social impacts associated with future activities to be supported by the final REDD+ strategy by providing guidance and key elements for the preparation of an Environmental and Social Management Framework (ESMF). The SESA will also influence the final national REDD+ strategy, by ensuring that social and environmental risks are factors in the preparation of the strategy.			
<b>Natural Habitats (OP/BP 4.04)</b>	<b>X</b>		
The application of this policy seeks to ensure that all options proposed in the National REDD+ Strategy take into account the conservation of biodiversity, as well as the numerous environmental services and products that natural habitats provide to human society. Overall, REDD+ activities are expected to have significant positive impacts on natural habitats, as the country puts in place an effective strategy to reduce loss of natural forests. The SESA will address issues related to natural habitats and potential impacts of the National REDD+ Strategy, which will later be included in the ESMF.			
<b>Forests (OP/BP 4.36)</b>	<b>X</b>		
Overall, REDD+ activities are expected to have significant positive impacts on forest, in that the main goal of the program is to reduce deforestation and forest degradation, while contributing to the well-being of forest-dependent communities. Potential impact of the National REDD+ Strategy on natural forests will be assessed through the SESA and included in the ESMF. The SESA and associated ESMF will reflect the requirements of the Bank's Operational Policy regarding forest management, in particular as these relate to the establishment of plantations.			
<b>Pest Management (OP 4.09)</b>			<b>X</b>
This policy could be triggered depending on the final scope of the National REDD+ Strategy. Agricultural intensification and reforestation activities, for instance, could trigger this policy, depending on the methods employed by concrete activities on the ground to manage pests. The SESA will address critical issues related to pest management, as necessary, and these will also be included in the key elements for the ESMF.			
<b>Physical Cultural Resources (OP/BP 4.11)</b>			<b>X</b>
This policy could be triggered if REDD+ activities promote actions in areas containing sites deemed physical cultural resources by the Indigenous Peoples living there (e.g. holy/secret sites such as sacred groves, sacred forests, etc.). Though it is not anticipated that the project will have negative impacts on any such sites, the existence of any such sites and the corresponding need to trigger this policy will be determined once the National REDD+ Strategy is completed.			
<b>Indigenous Peoples (OP/BP 4.10)</b>	<b>X</b>		
It is likely that some of the activities to be implemented as part of the National REDD+ Strategy would take place in areas inhabited by Indigenous Peoples (pygmies). This policy underscores the need for the government of the DRC to identify indigenous peoples, consult with them properly, ensure that they participate in, and benefit from REDD activities. Adverse impacts on indigenous people should also be avoided (or where that is not feasible, minimize or mitigate these impacts). Drawing on the SESA, an Indigenous Peoples Planning Framework will be prepared. Additionally, and in relation to possible future support for the establishment of new protected areas, the SESA will incorporate the requirements of the Process Framework already prepared for the ongoing Bank support to the Congolese Nature Conservation Institute (ICCN).			
<b>Involuntary Resettlement (OP/BP 4.12)</b>	<b>X</b>		
REDD+ activities will trigger Involuntary Resettlement in situations involving involuntary restrictions of access to legally designated parks, protected areas, or forest management / reforestation areas. The policy aims to avoid involuntary resettlement to the extent feasible, or to minimize and mitigate its adverse social and economic impacts in cases where resettlement or other involuntary restrictions cannot be			

<b>Safeguard Policies Triggered</b>	<b>Yes</b>	<b>No</b>	<b>TBD</b>
avoided. Through the SESA process, any issues related to land acquisition or involuntary resettlement will be identified, and a Resettlement Policy Framework will be prepared. In terms of restriction to natural resources, the Process Framework prepared successfully for the Protected Areas Project in DRC, will be adopted and adjusted to the reality, needs and specificities of the REDD+ activities regarding project.			
<b>Safety of Dams (OP/BP 4.37)</b>		<b>X</b>	
<b>Projects on International Waterways (OP/BP 7.50)</b>		<b>X</b>	
<b>Projects in Disputed Areas (OP/BP 7.60)</b>		<b>X</b>	

**Annex I: Terms of Reference for the Strategic Environmental and Social Assessment**

**Annex II: Overall budget for REDD+ Readiness in DRC**

## Annex I. Terms of Reference for the Strategic Environmental and Social Assessment

### Termes de Référence EVALUATION ENVIRONNEMENTALE ET SOCIALE STRATEGIQUE (EESS) DE LA MISE EN ŒUVRE DU PROCESSUS REDD EN RDC

#### I. Préambule

Le stratégie exploratoire REDD+ en RDC vise à contribuer à l'atténuation des émissions des Gaz à Effet de Serre (GES), à réduire la pauvreté et à relancer la croissance économique à travers la gestion durable et équitable des forêts, la valorisation des services environnementaux et le renforcement du stock du carbone forestier. Ce processus se voulait innovant et participatif en associant les organisations de la société civile et des communautés forestières et autochtones, le secteur privé et le milieu scientifique dans le choix des options stratégiques et la préparation du pays.

Néanmoins, en dépit des retombées positives escomptées au niveau de la lutte contre le changement climatique, le redémarrage de l'économie et l'amorce de nouveaux programmes multisectoriels de développement en période post-confit peut avoir des impacts négatifs collatéraux sur l'environnement et les communautés locales. De plus, l'attente des populations riveraines et autochtones se focalise de façon pressante sur des résultats concrets portant notamment sur l'éradication de la pauvreté et le partage équitable des bénéfices entre les parties prenantes et au niveau national et local. La compensation des populations pouvant être affectées négativement et le maintien des usages traditionnels des forêts correspondent aussi aux attentes exprimées.

Il est donc nécessaire d'élaborer une Évaluation Environnementale et Sociale Stratégique (EESS ou SESA en sigle anglais) afin d'évaluer les effets positifs et négatifs que pourrait générer les options stratégiques REDD+ proposées par le gouvernement et de contribuer à affiner cette stratégie. L'EESS doit donc adopter une démarche participative et se situer en amont du processus REDD. Elle doit porter une attention particulière aux intérêts des groupes sociaux les plus vulnérables, et notamment les peuples autochtones et les peuples riverains des forêts.

Le processus de préparation de l'EESS doit se faire en dialogue avec les autres études en préparation dans le processus national REDD+, ainsi qu'avec la préparation de la stratégie d'investissement pour les Programme d'Investissements pour les Forêts (PIF). Le Comité de Suivi de l'EESS aura le rôle central de s'assurer que les conclusions des études contribuent à l'élaboration de l'EESS. Le tableau ci-dessous résume les études en cours (ou à lancer), le lien avec le SESA et le timing de ces études.

Étude	Lien avec le processus SESA	Partenaires et Timing
Analyse approfondie des causes de la déforestation et dégradation forestière	L'étude doit mettre en évidence les facteurs sociaux et institutionnels liés à la déforestation et dégradation. Ces facteurs doivent être pris en compte dans la stratégie en construction.	<ul style="list-style-type: none"><li>• UCL, FAO et PNUE</li><li>• Étude en cours. Finalisation prévu pour mars, 2011.</li></ul>
Retour des expériences en réduction de la déforestation et dégradation forestière	L'étude doit évaluer le succès et échec des interventions passées, mettant accent sur le rôle accordé aux questions sociales liées à la déforestation.	<ul style="list-style-type: none"><li>• Consultants</li><li>• Étude en cours. Résultats prévus pour Novembre, 2010</li></ul>
Étude sur le mécanisme de gestion des fonds REDD	Cette étude devra mettre en évidence comment la gouvernance ce mécanisme et son système d'allocation des fonds de peut influencer les bénéfices accordés aux communautés.	<ul style="list-style-type: none"><li>• Consultants</li><li>• À lancer en octobre 2010.</li></ul>
Étude sur le partage de bénéfices REDD	Ceci s'agit d'une étude où les questions sociales (y compris l'équité) seront dans le centre de la discussion.	<ul style="list-style-type: none"><li>• Consultants</li><li>• À lancer en janvier 2011.</li></ul>

Projets pilotes REDD	Les projets pilotes REDD devront générer plusieurs leçons apprises, y compris sur les questions sociales liées à la déforestation, ainsi que les risques environnementaux liés aux solutions proposés.	<ul style="list-style-type: none"> <li>• ONGs locales et internationales, secteur privé.</li> <li>• Propositions de projets en analyse par le FFBC. Projets devront être lancés avant fin 2010.</li> </ul>
Programmes anticipés de mise en œuvre de la Stratégie REDD	Les études préparatoires pour les programmes anticipés devront explicitement analyser les questions sociales liées à la déforestation.	<ul style="list-style-type: none"> <li>• Consultants</li> <li>• Études à lancer (charbon de bois, agriculture sûr-brulis, foncier) en octobre 2010.</li> </ul>

Le graphe ci-dessous démontre la relation entre le SESA et l'ensemble du processus de préparation à la REDD.

L'élaboration de l'EES doit se référer aux dispositions réglementaires en vigueur et à la prise en compte de l'adhésion du pays aux conventions internationales et aux accords multilatéraux sur l'environnement. L'EES prendra aussi en considération les principes qui découlent de la réglementation congolaise applicable aux différents secteurs concernés, y compris les conventions internationales ratifiées par la RDC et les lois, usages, coutumes locales ainsi que les pratiques

internationales qui protègent les droits des citoyens, notamment en cas d'impact sur leur cadre de vie, leurs droits traditionnels et d'accès aux ressources.

Ces TdRs portent sur une consultation impliquant des compétences nationales et internationales en vue d'élaborer une EESS relative à la mise en œuvre des options stratégiques REDD+. Dans la suite de ce document, le terme 'processus' désigne la stratégie REDD+ de la RDC et son cadre de mise en œuvre.

## **II. Objectifs et Résultats attendus**

L'objectif global de l'EES est d'identifier les opportunités d'améliorer les nouvelles conditions environnementales et sociales pouvant découler de la mise en œuvre du processus REDD+ en RDC, d'identifier des alternatives aux possibles impacts sociaux et environnementaux négatifs de la mise en œuvre du processus REDD, de mettre en place un cadre de gestion environnementale et sociale pour la mise en œuvre de la stratégie nationale REDD.

L'EES doit fournir plus particulièrement les résultats suivants :

1. Décrire la situation de départ sur le plan social et environnemental concernant les ressources forestière en RDC, ainsi que les programmes/activités de la stratégie REDD+ préliminaire ;
2. Examiner la pertinence socio-environnementale de la Stratégie REDD+ préliminaire préconisée par la RDC (voir Annexe 1 ci-dessous). Décrire pour ce faire les contraintes (politiques, sociales, institutionnelles) qui pourraient s'opposer aux effets attendus ou produire des contre effets négatifs, par exemple en matière d'accès aux ressources naturelles, de sécurité alimentaire, de revenu pour les ménages agricoles. La conception et la gestion du mécanisme de répartition et gestion des revenus REDD+ seront particulièrement analysées, avec le but d'évaluer le risque qu'il ne profite pas ou faiblement aux populations impliquées ;
3. Analyser les impacts potentiels sociaux et environnementaux d'une évolution des secteurs ayant trait au processus REDD+ (Forêts, Eaux, Energie, etc.) en l'absence de la mise en œuvre du processus (Option BAU : '*Business-as-usual*') ;
4. Pour les différentes options stratégiques retenues du processus, y compris pour celles qui découleraient des suggestions nouvelles faites au point 2, identifier et analyser tout impact environnemental et social dommageable, direct ou indirect, résultant du processus REDD+ et qui pourrait affaiblir sa durabilité ou empêcher l'atteinte de l'objectif de réduction de la pauvreté ou porter atteinte aux particularités et au mode de vie des peuples autochtones. Identifier les principaux besoins en information et en études analytiques futures pour affiner cette analyse d'impact. Le consultant devra aussi analyser la Stratégie d'Investissement pour le Programme d'Investissement pour les Forêts (PIF) préparée par la RDC ;
5. Proposer des améliorations à la stratégie pour optimiser ses incidences positives et éviter, atténuer ou compenser ses impacts négatifs potentiels et proposer l'alternative pertinente et compatible avec la protection de l'environnement et les intérêts affichés des populations forestières et autochtones.
6. Préparer un Cadre de Gestion Environnementale et Sociale pour la mise en œuvre de la Stratégie Nationale REDD+. Ce Cadre devra être raffiné tout au long du processus REDD ;
7. Évaluer la conformité de la stratégie nationale REDD+ proposée aux politiques de sauvegarde de la Banque mondiale;
8. Proposer une série de mesures, concrètes et pratiques, visant à protéger l'environnement, à assurer le bien être des populations (notamment les populations forestières et autochtones), à les intégrer pleinement dans le processus REDD+ et à leur offrir l'opportunité de poursuivre leurs usages traditionnels des forêts qui sont non préjudiciables à l'environnement ;
9. Proposer un plan de renforcement des capacités institutionnelles pour améliorer la gestion environnementale et sociale du processus REDD+ en RDC.

## **III. Dispositif institutionnel de mise en œuvre de l'EES**

Le Ministère de l'Environnement, Conservation de la Nature, et Tourisme (MECNT) constitue l'interlocuteur contractuel du Consultant. Le dialogue, la préparation et le suivi de l'exécution de l'EES seront assurés par la Coordonation Nationale REDD (CN-REDD) sous la supervision de la Direction du Développement Durable et Point Focal REDD. Toutes les parties prenantes seront associées à ce

processus à travers leur participation au Comité de Suivi ainsi que par les consultations participatives menées par le Consultant.

Avant le début de l'étude un Comité de Suivi (CS) sera mis en place, par arrêté du Ministre en charge de l'environnement, afin de guider et de faciliter le travail du consultant tout au long de son mandat : collecte des données, organisation de consultations, validation des rapports d'étapes. Le CS sera composé des représentants des organismes clés impliqués, le secteur privé, les ONGs locales, et les organismes de représentation des populations autochtones. Le Ministre de l'ECNT peut désigner des représentants des partenaires techniques et financiers impliqués dans le processus REDD pour participer à titre consultatif au CS. Les activités du CS seront coordonnées par le CN-REDD et ses membres sont tenus de fournir (sous une dizaine de jours ouvrables) leurs commentaires sur les rapports périodiques et le rapport final. Pour l'appuyer dans sa mission, le CS peut recourir aux services des consultants nationaux et/ou internationaux. Le CS a aussi le rôle de s'assurer que les résultats du SESA soient effectivement incorporés dans la sélection des options stratégiques pour la Stratégie Nationale REDD+.

Un Atelier de lancement du processus devra s'organiser dès que le prestataire sera recruté, où les spécificités du cadrage méthodologique de la prestation seront discutées.

Dès le début des travaux, le Consultant tiendra une réunion avec le CS afin (i) d'exposer et discuter son plan de travail, et (ii) établir les modalités de travail avec le CS, y compris pour les revues périodiques des rapports d'étapes et les consultations publiques. Pour ce dernier point, le CS veillera à ce qu'un processus clair de consultation préalable libre et informée des populations autochtones soit établi, pour identifier totalement leurs perspectives et leur faire correspondre des mesures actives.

La CS se verra doté d'une cellule opérationnelle de 3 à 4 membres qui assurera son fonctionnement selon les impératifs contractuels et les délais impartis. La composition et les attributions de la cellule opérationnelle sont décrites dans les termes de référence du Comité de Suivi.

## V. Tâches du consultant

Le processus de réalisation de l'EESS peut se diviser en neuf étapes comme suit :

(1) Tâche 1 :	(2) Identification des principales composantes du processus REDD+
(3) Tâche 2 :	(4) Préparation et Soumission du plan de travail avec le CS et organisation d'un atelier de lancement de l'étude
Tâche 3 :	Description de la situation initiale socio-environnementale, des causes et des facteurs de la déforestation et dégradation des forêts, de la stratégie REDD préliminaire; recommandations éventuelles pour améliorer la stratégie. L'EESS devra capitaliser sur les résultats des études en cours (notamment l'étude sur les causes de la déforestation et dégradation, et l'étude sur le retour des expériences nationales de réduction de la déforestation et dégradation).
Tâche 4 :	Analyse des impacts potentiels du scénario 'Sans processus REDD+' ( <i>Business As Usual</i> )
Tâche 5 :	Analyse des potentiels risques et impacts socio-environnementaux induits par la stratégie REDD, y compris la stratégie d'investissement pour le Programme d'Investissement pour les Forêts.
Tâche 6 :	Analyse des impacts résiduels de l'alternative REDD+ proposée et des activités qu'elle prévoit
Tâche 7 :	Évaluer la conformité avec les Politiques de sauvegarde de la Banque mondiale (quand elles s'appliquent)
(5) Tâche 8 :	(6) Elaboration d'un Cadre de Gestion Environnemental et Social



	(CGES) et un Plan de Renforcement des Capacités dans les domaines de l'Évaluation, la Gestion et le Suivi Environnementaux. Ce CGES devra être raffiné tout au long du processus REDD.
	Elaboration d'un Cadre de Développement des Peuples Autochtones (CDPA), d'un Cadre de Politique de Réinstallation Involontaire (CPRI), d'un Cadre de Gestion du Patrimoine Culturel (CGPC) ; d'un Cadre de Politique d'information.
Tâche 9 :	Documentation des résultats de l'analyse, des enquêtes et des consultations publiques. Organiser un atelier final de restitution de l'étude.

Des détails requis pour chaque tâche sont donnés à titre indicatif ci-dessous. La séquence des tâches et leur contenu et degré de détails restent flexibles. Le consultant peut les enrichir sous réserve de faire valider toute modification par le CS.

### Description détaillée des tâches.

**Tâche 1 : Identifier les principales composantes du processus REDD+**, Déterminer la portée de l'évaluation (c'est-à-dire les enjeux environnementaux et sociaux à prendre en considération), le niveau d'effort et les tâches requises pour réaliser l'EES. Dans l'éventualité que des impacts importants sont à anticiper, l'évaluation doit commencer par la collecte et l'analyse des données de base permettant :

- L'évaluation des politiques, lois et règlements environnementaux et sociaux pertinents;
- La description de l'état des principales composantes du R-PP touchant sur des questions environnementales et sociales ;
- L'identification des enjeux environnementaux et sociaux clés associés à la stratégie REDD+ préliminaire;
- L'identification des principales parties prenantes concernées par les enjeux identifiés ;
- La détermination des besoins pour l'analyse détaillée des effets potentiels (Études techniques requises, Expertise requise (autre que l'équipe), Participation du public et implication des parties prenantes) ;
- Sources d'informations disponibles, notamment les autres études d'EES réalisées dans le cadre du Programme National Forêt et Conservation de la Nature (PNFOCO) dont les résultats sont disponibles sur Worldbank Infoshop à l'adresse suivante : <http://web.worldbank.org/external/projects/main?pagePK=51351038&piPK=51351152&theSitePK=40941&projid=P100620>.

On y trouve notamment les documents suivants :

- Le guide méthodologique intérimaire de zonage forestier pour la république démocratique du Congo
- Cadre de politique pour les peuples autochtones du PNFOCO
- Évaluation environnementale et stratégique du PNFOCO
- Cadre de gestion du patrimoine culturel du PNFOCO
- Cadre de gestion environnemental et social du PNFOCO
- Cadre de politique de réinstallation involontaire du PNFOCO.

**Tâche 2 : Confirmation du plan de travail avec le CS** : Confirmation au démarrage de l'étude des principales caractéristiques de l'EES ainsi que du plan de travail, particulièrement en ce qui concerne les zones géographiques et les thèmes qui feront l'objet d'analyses plus spécifiques ainsi que les modalités précises d'intervention. Celles-ci concernent la participation des parties concernées et des groupes et communautés potentiellement affectés (notamment les peuples), le processus de consultation, de préparation et de discussion des rapports d'étapes.

**Tâche 3 : Description de la situation de départ socio-environnementale, et du processus REDD+**. Cette tâche consiste à collecter, analyser et présenter les données de base relatives à l'état actuel

environnemental et social du secteur forestier en DRC. Cette partie descriptive s'appuiera sur les textes de lois et autres documents de référence<sup>9</sup> et traitera des points suivants :

1. **Description de l'environnement naturel** : notamment la cartographie de base, les divers écosystèmes, les ressources forestières, la biodiversité, les fonctions des forêts pour la régulation du climat et des eaux, les espèces menacées et/ou endémiques, et les habitats critiques, sensibles et/ou en danger, le réseau des aires protégées. Elle décrira les menaces et opportunités qui impactent ces écosystèmes.
2. **Description du contexte social** : Ce travail se base sur la consultation directe des groupes concernés, la récolte de données de terrain, la compilation d'études existantes ; y inclus les données démographiques et socio-économiques de base, les aires de distribution des groupes ethniques. Ceci compte aussi l'analyse de la structure des communautés forestières y compris leur organisation sociale et les institutions locales, les rôles des différents groupes sociaux, les systèmes économiques, les liens avec l'économie nationale et régionale, les systèmes traditionnels d'accès aux ressources et à la terre, les problèmes de santé y compris le SIDA, et l'identification des impacts positifs et négatifs des activités forestières sur les différents groupes sociaux. Elle établira un '*stakeholders mapping*'. Elle décrira les opportunités et risques que présente le contexte post-conflit vis-à-vis du bien-être social, culturel et économique des populations vivant en milieu forestier et de la population congolaise en général. Il est nécessaire de décrire les groupes existants et leur utilisation des ressources, incluant les groupes paramilitaires installés de façon illégale sur le territoire. Évaluer autant que possible les états de domination des groupes les uns par rapport aux autres et les relations entre ces groupes. Cette analyse inclut un volet spécial consacré aux **groupes sociaux vulnérables** dépendant des forêts, **spécialement les Pygmées**. Ce volet inclut :
  - l'identification précise des groupes ethniques, avec localisation géographique et estimation du nombre ainsi que une revue historique de la présence des groupes autochtones et de leur évolution dans le temps et l'espace,
  - l'identification de la structure communautaire, des liens sociaux avec le reste de la société, et de la dépendance par rapport aux ressources naturelles,
  - l'utilisation des terres ainsi que les droits traditionnels que ces groupes exercent sur les ressources naturelles dans leurs terroirs.
3. **Description du cadre légal et institutionnel** : Le consultant décrira le cadre légal, réglementaire et institutionnel qui régit le secteur forêts et conservation de la nature. Il rappellera les dispositions-clefs du code forestier de 2002, et des conventions internationales qui lient la RDC. Il indiquera comment le secteur est pris en compte dans les principaux cadres de développement socio-économique du pays, tels que le DSRP, la politique de décentralisation, etc. Il rappellera les constats et recommandations de la revue institutionnelle du secteur. Le consultant vérifiera la concordance du processus REDD+ avec les conventions internationales.
4. **Description du processus REDD+** : Partant des orientations de politique décrites ci-haut, le Consultant décrira les composantes stratégiques et activités proposées dans le processus REDD+. Cette description se fera en réponse aux risques et opportunités identifiés. Le consultant résumera la stratégie d'intervention proposée, les activités ou plans annuels d'activités envisagés, les résultats ciblés, et les zones géographiques considérées.

**Tâche 4 : Analyse des impacts potentiels du scénario 'Sans Processus REDD+' ou 'BAU : Business-As-Usual'**. Le Consultant identifiera, autant que possible en termes quantitatifs, les impacts sociaux et environnementaux, aussi bien positifs que négatifs, qui résulteraient d'une évolution des secteurs ayant trait au processus REDD si ce dernier ne serait pas en œuvres. Il analysera notamment les risques suivants :

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<sup>9</sup> A titre d'exemple non exhaustif : le Code forestier (2002), le document de processus REDD+ PNFCo (2004), la Stratégie de l'ICCN (2004), la Revue Sectorielle Forêts/Analyse de l'Agenda Prioritaire (2007), le Document Technique de Référence du Fonds Commun (2006), la Revue Institutionnelle du MECNT et l'Etude d'impact Post-Conflit (en cours).

- risque d'exacerbation des conflits et des tensions sociales et leurs menaces sur les habitats naturels
- risque d'aggravation ou d'apparition de nouvelles formes non-contrôlée de l'agriculture et de l'exploitation du bois en rapport avec l'absence d'une stratégie d'accompagnement du secteur informel, de gestion du bois de chauffe et le soutien insuffisant à la réhabilitation des parcs nationaux,
- risque lié à l'absence de zonage participatif,
- risque dû au statu quo et à la faiblesse de la capacité institutionnelle, et à l'absence de la transparence et la participation du public,
- risque d'absence d'un cadre d'harmonisation des bailleurs.

**Tâche 5 : Analyse des alternatives et les impacts de la stratégie REDD+.** Le consultant analysera aussi les alternatives qui s'offrent au gouvernement et à ses partenaires. Il indiquera par quel autre moyen, qui ne soit pas déjà inclus dans le processus REDD+, le gouvernement et ses partenaires pourraient éventuellement poursuivre les objectifs de réduction de la pauvreté, de protection de l'environnement, de développement socio-économique, et de protection des droits traditionnels, et d'harmonisation de l'aide. Les alternatives discutées devront être réalistes, c'est-à-dire notamment tenir compte des programmes de reconstruction et de développement déjà en cours dans les autres secteurs, et de la capacité réelle d'action et d'influence du gouvernement et de ses partenaires. Le consultant indiquera comment de telles alternatives seraient incorporées au processus REDD+.

Pour chaque composante, activité ou méthodologie proposée dans le cadre du processus REDD+, le consultant analysera les impacts possibles, positifs ou négatifs, sur les habitats naturels, les forêts et l'environnement ; ainsi que sur les modes de vie traditionnels et les droits d'accès aux ressources, et sur l'égalité d'accès aux opportunités de développement, spécialement pour des groupes qui risquent d'être marginalisés comme les Pygmées. Il identifiera les risques que le processus REDD+ proposé provoque des déplacements physiques involontaires, ou diminue l'accès aux ressources, la production de ressources - notamment alimentaires - et de revenus, ou altère le mode de vie des populations autochtones, par rapport à la situation de départ et au scénario sans processus REDD+. Il portera une attention particulière sur les impacts susceptibles d'être irréversibles. Il identifiera ces impacts positifs ou négatifs, par comparaison avec le scénario 'sans processus REDD+'.

Le même exercice devra être assuré pour la Stratégie d'Investissement pour le Programme d'Investissement pour les Forêts (*Forest Investment Program*, en anglais). Cette Stratégie d'Investissement servira à la programmation des investissements du PIF et devra être en parfaite harmonie avec et contribuer à la Stratégie Nationale REDD+.

**Tâche 6 : Analyse des impacts résiduels de l'option retenu.** Le consultant identifiera les impacts aussi bien positifs que négatifs susceptibles d'être observés comme conséquence de la mise en œuvre de la Stratégie National REDD+. Il distinguera les impacts directs, indirects, cumulatifs, immédiats et futurs, autant que possible de façon quantitative. Comme pour le volet précédent, cette évaluation gardera un caractère sectoriel sans nécessairement identifier les impacts dans des sites ou à des moments précis.

Le consultant établira une grille indiquant les options stratégie de la Stratégie REDD+, les principaux ajustements et mesures d'atténuation proposées, et la conformité aux politiques de sauvegarde concernées. Il vérifiera notamment que le processus REDD+ ne favorisent pas directement ou indirectement l'exploitation industrielle du bois dans les forêts naturelles ou une dégradation de l'environnement.

**Tâche 7 : Évaluer conformité avec les Politiques de sauvegarde des bailleurs et autres partenaires techniques :** Sur base des analyses et propositions ci-dessus, le consultant analysera sur le processus REDD+ conforme avec les politiques de sauvegarde de la Banque mondiale. A titre d'exemple les politiques et procédures relatives à : l'Évaluation Environnementale, les Habitats Naturels, les Populations Autochtones, les Ressources Culturelles Physiques, la Réinstallation Involontaire des

personnes et des populations, les Forêts, etc. Par ailleurs il est important que l'EES confirme parmi les objectifs majeurs du REDD : (i) réguler les activités dans le secteur des forêts et promouvoir la lutte contre la déforestation et la dégradation des forêts, (ii) éviter le déplacement involontaire de populations, et (iii) protéger et promouvoir les droits et opportunités des peuples autochtones par rapport à la situation de départ.

*Tâche 8 : Développement d'un Cadre de Gestion Environnemental et Social (CGES).* Le consultant doit faire toute proposition visant à renforcer l'impact du processus REDD+ sur la qualité de l'environnement, sur le bien-être social, culturel et économique de la population spécialement les groupes les plus dépendants des forêts, sur les écosystèmes et la biodiversité ainsi que sur le respect des modes traditionnels d'usage des ressources naturelles, et sur les processus de consultation et de participation des communautés. Le PGES doit notamment traiter des questions sous-indiquées :

1. Le consultant recommandera les procédures à mettre en œuvre tout au long du processus REDD+ en vue d'adopter des mesures de gestion et de suivi environnemental et social qui visent d'atténuer ou d'éviter les impacts négatifs. A cette fin, il proposera une méthodologie simple de 'screening' pour vérifier du point de vue social et environnemental les activités qui seront proposées d'année en année dans les plans de travail annuels de façon à écarter ou réviser celles qui risqueraient d'avoir un impact négatif (sorte de « check-list » à suivre). Il proposera les TDR des études simplifiées préalables pour chaque projet financé par le REDD+, ainsi que ceux des études détaillées simplifiées requises dans les cas de déclenchement nécessaire des politiques de sauvegarde.
2. Il proposera aussi un système simple de suivi évaluation des impacts sociaux et environnementaux, avec des indicateurs de suivi ainsi que les procédures et méthodologie d'évaluation correspondantes. Enfin, le consultant proposera une méthodologie de consultation publique pour la conduite et le suivi évaluation du processus REDD+.
3. Il fera des propositions concrètes pour accroître l'information du public sur la gestion des forêts, et pour accroître l'implication des communautés locales, spécialement les groupes autochtones, des ONG et autres institutions de la société civile et du secteur privé dans l'exécution et le suivi du processus REDD+, et dans la gestion du secteur en général.
4. Le consultant proposera des mesures de renforcement de capacités nationales pour assurer que les mesures du PGES soient effectivement mises en œuvre, y compris au niveau du gouvernement, des universités, des ONGs, et des groupes sociaux concernés. Il proposera les institutions publiques et/ou de la société civile susceptibles de mener ce travail de renforcement, et définira le budget nécessaire. Ce processus de renforcement des capacités pourrait inclure des ajustements institutionnels ou de procédures, des recrutements ou de nouvelles affectations et des formations pour les cadres des institutions nationales, locales et régionales et les organisations de la société civile.
5. Les coûts estimatifs du PGES devront être évalués pour chaque mesure recommandée. A défaut d'une estimation précise, une méthodologie pour l'évaluation de ces coûts sera proposée. Cette estimation inclut les besoins de renforcement institutionnel et de formation pour l'application des dites mesures.
6. Le consultant présentera le PGES sous forme de mesures incorporées directement dans les activités du processus REDD+ (ex. améliorations de méthodologie, compléments aux activités proposées) de sorte que ce PGES ne constitue pas un processus parallèle.
7. Le Consultant doit s'appuyer sur la Stratégie Nationale pour le Développement des Peuples Autochtones Pygmées (SNPPA) pour produire un Cadre de Développement des Peuples Autochtones (CDPA) sous une forme générique qui sera utilisé par le Gouvernement chaque fois qu'une activité du processus REDD+ risque de mettre en question les droits, intérêts ou cadre de vie de groupes autochtones. Le PDPA indiquera quels sont les groupes considérés comme autochtones, sur base de la littérature scientifique existante, des lois et des usages en vigueur. Il décrira les mécanismes de représentation chez les groupes autochtones de façon à faciliter l'établissement d'une communication directe et à stimuler leur participation directe au processus REDD+. Le PDPA a pour

objectif d'assurer que les groupes autochtones bénéficient des mêmes opportunités de développement et que leurs droits traditionnels et spécificités culturelles soient protégés, et d'éviter les discriminations, conflits, et marginalisation additionnels.

8. Le PGES sera également accompagné d'un Cadre de Politique de Réinstallation Involontaire (CPRI) qui doit être mis en œuvre en cas de nécessité d'une réinstallation involontaire de populations ou en cas d'une restriction d'accès aux ressources forestières et/ou en biodiversité pour des populations riveraines par exemple d'une concession forestière ou d'une aire protégée.
9. Le PGES sera également accompagné d'un Cadre de Gestion du Patrimoine Culturel qui doit être mis en œuvre dans les cas où les programmes et activités du processus porterait atteinte au patrimoine culturel physique ou moral ou à des pratiques ou de coutumes traditionnelles.

**Tâche 9 : Documentation des résultats de l'analyse, des enquêtes et des consultations publiques :**  
Se conformer au contenu des annexes : voir Paragraphe VI. Produit attendu - Structure du rapport final de l'EESS.

## VI. Livrables

Les livrables de cette prestation seront divisés en trois :

- 1) Rapport préliminaire d'analyse (situation de départ et scénario '*business as usual*');
- 2) Rapport préliminaire portant sur l'analyse sociale et environnementale des options stratégiques de la REDD+;
- 3) Rapport global final, incluant le Cadre de Gestion Environnemental et Social. La structure détaillée du rapport final se trouve dans l'Annexe 2.

Le prestataire devra fournir 10 (dix) copies imprimées de chaque rapport, ainsi que les copies électroniques.

## VII. Méthodologie de travail

Des visites de terrain doivent couvrir au moins trois grandes zones représentatives de la diversité naturelles, climatique et socioéconomiques du pays. Des consultations locales, régionales, thématiques et/ou par groupes d'intérêt seront organisées tout au long de la réalisation de l'EESS.

Ces consultations locales et ateliers provinciaux associeront les autorités locales, les chefs coutumiers, les associations de femmes, de jeunes, les groupements socioprofessionnels, les groupes vulnérables, les media, etc. Un accent particulier sera consacré à la participation des groupes autochtones, vulnérables ou minoritaires. Les techniques de consultation seront spécialement adaptées pour assurer que les points de vue de ces groupes soient correctement, directement, et pleinement reflétés dans l'EESS. Ces consultations placeront l'accent sur l'information et la compréhension des acteurs, et sur l'émergence d'une vision commune quant aux impacts et aux mesures d'atténuation.

L'étude se déroulera sur une durée totale de 6 à 8 mois, comptant sur les activités suivantes:

- Confirmation du plan de travail par le CS - dès le démarrage
- Rapport d'étape et atelier national de consultation et enrichissement
- Draft du rapport final et atelier national de restitution
- Rapport final

En plus des honoraires, per diem et voyages internationaux, le Consultant inclura dans son offre un budget de pour des ateliers, des consultations locales, des déplacements intérieurs, et autres coûts

afférents à la réalisation de l'EES.

L'EES sera rendue publique, et approuvée selon les procédures en vigueur en RDC. Les rapports intermédiaires et finaux seront largement diffusés dans des lieux publics, par voie de presse et sur internet, pour pouvoir être consultés et commentés, avant la validation définitive.

## VIII. Expérience du prestataire

Le Consultant, doit disposer d'une expérience de 10 ans au minimum pour au moins trois études d'impact environnemental et/ou des EES réalisées en conformité aux politiques de sauvegarde des PTF (quand elles s'appliquent). Le travail impliquera un volume d'expertise d'au moins 18 personne/mois, dont 13 nationaux et 5 internationaux. Il sera exécuté par une équipe pluridisciplinaire incluant au minimum les spécialités suivantes :

- Sciences de l'environnement et biodiversité (env. 4 pm)
- Sciences sociales, développement communautaire, régimes fonciers (env. 5 pm)
- Anthropologie/sciences sociales, spécialiste des Pygmées (env. 4 pm)
- Juriste spécialiste des forêts, environnement et droits coutumiers (env. 1 pm)
- Communication, animation de processus participatifs et médiation (env. 2 pm)

En respectant ces consignes, le Consultant peut proposer les spécialités, le nombre exact d'experts et le temps de travail de chaque membre de l'équipe, qu'il estime nécessaire pour la réalisation du mandat selon les meilleurs standards internationaux. En tout état de cause, les experts disposeront d'une expérience scientifique dans leur spécialité respective, d'une expérience d'au moins cinq ans ou plus en études d'impacts pour des programmes complexes, et d'une connaissance approfondie des problématiques environnementales et sociales en Afrique subsaharienne, de préférence en Afrique centrale et surtout en RDC. La participation de l'expertise nationale notamment celle des membres d'ONG locales au sein de l'équipe est un atout. Au minimum 80% du temps d'expertise internationale se déroulera en RDC.

## IX. Documents de base pour la prestation

- MECNT. **Plan de Préparation à la REDD de la RDC**. Mars, 2010.
- CIFOR, Banque mondiale. **Forests In Post-Conflict Democratic Republic of Congo : Analysis of a Priority Agenda**. 2007.
- Banque mondiale. Document du projet « **Forêt et Conservation de la Nature** », 2008.
- D'autres références seront disponibles auprès de la Coordination Nationale REDD.

## **Annexe 1 – Stratégie REDD+ préliminaire de la RDC**

Comme noté dans le Plan de Préparation à la REDD (R-PP) de la RDC, le tableau ci-dessous résume la Stratégie REDD+ préliminaire identifiée par le Gouvernement. Les possibles impacts positifs et négatifs dans le domaine social et environnemental devront être analysés par l'EESS. Cette analyse en soi devra générer des éléments clés pour que le Gouvernement puisse affiner cette Stratégie nationale et la finaliser.

### **Bloc 1 – Gestion, exploitation durable et accroissement du patrimoine forestier**

- a. Gestion des activités dans les Forêts de Production Permanente et la lutte contre l'exploitation illégale ;
- b. Gestion, valorisation et accroissement des Forêts Classées ;
- c. Boisement et reboisement pour la restauration de forêts, fourniture de bois de chauffe et exploitation forestière
- d. Ciblage et transfert de gestion des Forêts Protégées aux communautés locales.

### **Bloc 2 – Développement accéléré d'une agriculture performante en milieu rural-forestier**

- a. Hausse de la productivité et sédentarisation des agriculteurs vivriers ;
- b. Hausse des rendements et augmentation de la valeur ajoutée pour l'agriculture commerciale des petits exploitants (au travers, par exemple, agroforesterie) ;
- c. Développement maîtrisé de l'agriculture intensive par la réhabilitation des anciennes plantations et nouvelles plantations en savane
- d. Développement intégré socio-économique rural et urbain (activités génératrices de revenus)

### **Bloc 3 – Limitation de l'impact de la croissance urbaine et des secteurs industriels sur la Forêt, autour d'une forte coordination interministérielle**

- a. Réduction de la demande de bois de chauffe et développement de sources d'énergies alternatives au travers d'une stratégie énergétique nationale
- b. Limitation des impacts directs et indirects des secteurs extractifs et industriels sur la forêt

### **Bloc 4 – Programmes transversaux**

- a. Développement de la stratégie nationale REDD+
- b. Réforme légale et institutionnelle ;
- c. Mise en place et animation d'un processus participatif ;
- d. Développement du système national MRV ;
- e. Mise en place d'un mécanisme national transparent de partage de revenus.

## **Annexe 2 – Structure détaillée du rapport final de la prestation**

Le produit de cette consultation sera un rapport final concis, et centré sur le diagnostic, les conclusions et les actions recommandées, avec cartes et tableaux de synthèse. Il sera complété par des annexes (ou un volume séparé), contenant toutes les données d'appui, les analyses complémentaires et les procès-verbaux et résumés des consultations et listes des participants.

1. Résumé exécutif (en français et en anglais, 10 pages maximum)
2. Description de l'équipe de réalisation
3. Description de la méthodologie réalisée
4. Description de l'état initial : (i) Etat de l'environnement et (ii) Diagnostic social avec volet spécifique sur les peuples autochtones, (ii) Cadre légal et institutionnel
5. Description synthétique de la stratégie REDD+ proposée, de sa pertinence vis-à-vis des causes et facteurs de déforestation et dégradation des forêts, examen des alternatives ou compléments à la stratégie ;
6. Analyse des impacts du scénario 'sans processus REDD+'
7. Définition des différentes alternatives étudiées
8. Analyse des impacts sociaux environnementaux potentiels du processus REDD+ (y compris la stratégie améliorée ou autres alternatives à proposer)
9. Vérification de la conformité avec les Politiques de Sauvegarde de la Banque mondiale (quant elles s'appliquent)
10. Proposition des mesures de sauvegardes auxquelles les projets REDD+ en considération au pays doivent être soumises et le processus pour la considération de ces mesures par le Gouvernement
11. Propositions d'ajustements au design du processus REDD+, analyse des impacts sociaux environnementaux résiduels et mesures d'atténuation
12. Cadre de gestion Environnemental et Social (CGES)
  - a. Stratégie et procédures de gestion socio-environnementale,
  - b. Plan détaillé de renforcement des capacités pour assurer la mise en œuvre du PGES,
  - c. Plan et dispositif de suivi et de contrôle environnemental et social, et
  - d. les budgets et les plannings d'exécution respectifs.

Le consultant fournira en annexes, notamment :

- ✓ Les rapports détaillés des consultations publiques
- ✓ Les rapports des réunions avec le CS et des ateliers de présentation et de validation.

En documents séparés le consultant fournira :

- ✓ Un Cadre de Gestion Environnementales et Sociales (CGES),
- ✓ Un Cadre de Développement des Peuples Autochtones (CDPA),
- ✓ Un Cadre de Politique de Réinstallation Involontaire (CPRI),
- ✓ Un Cadre de Gestion du Patrimoine Culturel (CGPC).
- ✓ les TDR simplifiés des études à réaliser par et pour chaque projet financé par le REDD+ (études préalables systématiques, et études détaillées).



