



BENEFIT SHARING PLAN

**Mai-Ndombe Emissions Reduction Program
Democratic Republic of the Congo**



May 2022

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Acronyms & Abbreviations

BSP	Benefit sharing plan
CAFI	Central African Forest Initiative
CEI	Call for Expression of Interest
CF	Carbon Fund
CN-REDD	National REDD+ Coordination
CSO	Civil Society Organization
CU	Coordination Unit
DIAF	Directorate of Inventory and Forest Management
DRC	Democratic Republic of the Congo
ER	Emissions Reduction
ERP	Emissions Reduction Program
ERPA	Emissions Reduction Payment Agreement
FCPF	Forest Carbon Partnership Facility
FIP	Forest Investment Program
FONAREDD	National REDD Fund
GEF	Global Environment Facility
GRM	Grievance Redress Mechanism
GTCR	REDD Climate Working Group
GTCRR	REDD Rénové Climate Working Group
IP	Indigenous Peoples
LC	Local Community
LCS	Local Community Series
LDC	Local Development Committee
MoU	Memorandum of Understanding
MRV	Measurement, Reporting and Verification
NOL	No-Objection Letter
PES	Payment for Environmental Services
PIREDD	Integrated REDD Project
PMU	Program Management Unit
RAMC	Rural Agricultural Management Committees
REDD	Reducing Emissions from Deforestation and Forest Degradation
REPALEF	Network of Indigenous and Local Populations for the Sustainable Management of Forest Ecosystems
WWC	Wildlife Works Carbon

Executive Summary

- 1. The Democratic Republic of the Congo's (DRC) National REDD+ framework was established to enable coordinated land use action and finance as the basis for the country's efforts toward climate change mitigation, sustainable development, and poverty reduction.** At the core of the DRC's 2018 Ministerial Homologation Decree for REDD+¹ is the concept of "nesting,"² or the integration of forest carbon projects into larger-scale REDD+ programs while allowing them to continue generating carbon credits.³ For this reason, the DRC chose a hybrid centralized-decentralized nesting model in which emissions reductions (ER) are credited at both the national and the project level, projects are encouraged and receive performance-based payments while being authorized to generate additional ERs for the voluntary market, and the government controls emissions reductions and the distribution of carbon benefits according to a distribution key. This reflects the DRC's vision of promoting a mix of jurisdictional and local REDD+ activities as a way to include the land sector in national mitigation actions, stimulate private investment, and strengthen operational on-the-ground capacity.
- 2. The Mai-Ndombe Emissions Reductions Program (ERP) aims to implement a green development model at provincial level** that provides alternatives to deforestation and rewards performance for climate change mitigation, poverty reduction, natural resource conservation, and the protection of biodiversity. The program is designed to capitalize on various sources of funding such as the Forest Investment Program (FIP), the Congo Basin Forest Partnership (CBFP) and the Central African Forest Initiative (CAFI) and to stimulate and obtain private investments to intensify pilot activities and support the transition to large-scale strategic land use planning.
- 3. The Benefit Sharing Plan (BSP) is critical to the sustainable implementation of the ERP and to beneficiary support and long-term involvement.** Its continued improvement will rely on the same process of consulting and involving stakeholders as was implemented for its development. Beneficiary expectations, preferences, and priorities were taken into account in an inclusive and broadly participatory manner.
- 4. Implementation of the ER Program and its BSP involves a broad spectrum of costs.** If the ERP and benefit sharing system are to be viable, all of these costs must be covered appropriately throughout the ERP's implementation. To this end, gross payments will first be used to cover corresponding operational costs, notably for the operations of the Project Management Unit (PMU), the provincial government, and other structures involved in ERP operations.

¹ The latest version of the decree, currently in effect, dates from 2018. Updating this decree, and especially its procedures manual, in consultation with stakeholders, will bring this national framework into full and effective operation.

² There is no internationally agreed-upon definition of "nesting." In fact, people often mean quite different things when using this term. Some consider nesting in the narrow context of aligning the GHG measurement, monitoring, and reporting of smaller-scale systems, for example, projects that are part of larger scale (subnational or national) systems such as those that align ER claims by carbon project with the GHG inventories forming the basis of nationally determined contributions (NDC). Others take the broader view that nesting is about harmonizing the implementation of REDD+ activities at multiple governance levels and geographical scales. In the latter case, nesting can encompass, for example, national-scale ER programs that employ a benefit-sharing approach for distributing funding received from monetizing ERs, frameworks that enable site-scale activities, or small-scale projects that can directly generate and issue ERs. Climate Focus, 2021, Nesting of REDD+ Initiatives: Guidance for policy makers, FCPF, World Bank, Washington, DC.

³ Lee, D. et al. 2018. Approaches to REDD+ Nesting: Lessons Learned from Country Experiences. World Bank, Washington, DC.

$$ER \text{ gross payment} - \text{Operational costs} = ER \text{ net performance-based payment}$$

5. **Operating costs include:**

- a. **Program Management Unit (PMU).** Human resources and operating costs. It should be noted that operating costs may include activities designed to engage national REDD+ structures, as required, for the ERP (i.e., CN-REDD, DIAF, FONAREDD, etc.).
- b. **Provincial Government.** REDD+ payments aim to finance awareness and training actions for provincial administrations and potentially other decentralized authorities not only to ensure thorough familiarization with REDD+ processes and objectives but also to establish real operational capacities for the efficient and sustainable management of the ERP. The first ER payments will be transferred to the provincial government when a work plan for its ERP-related activities has been submitted.

6. **Three types of beneficiaries may receive ERP payments, either in kind (ER) or monetary:**

- Institutions involved in ERP administration, notably the provincial government and the Program Management Unit (PMU), to ensure financing of the program's operating costs;
- Local Communities and Indigenous Peoples (LCIP) in recognition of their efforts to reduce emissions or willingness to do so.
- Private owners of REDD+ sub-projects. These may be owners of forest or conservation concessions, sustainable charcoal producers, farmers, etc. These stakeholders will receive payments for emission reductions generated by sub-projects and duly certified through the national procedure. Emissions reductions are checked against an agreed-upon baseline. It should be noted that sub-projects have their own benefit-sharing plan (BSP), which requires that owners make payments to LCIP participants in the sub-project.

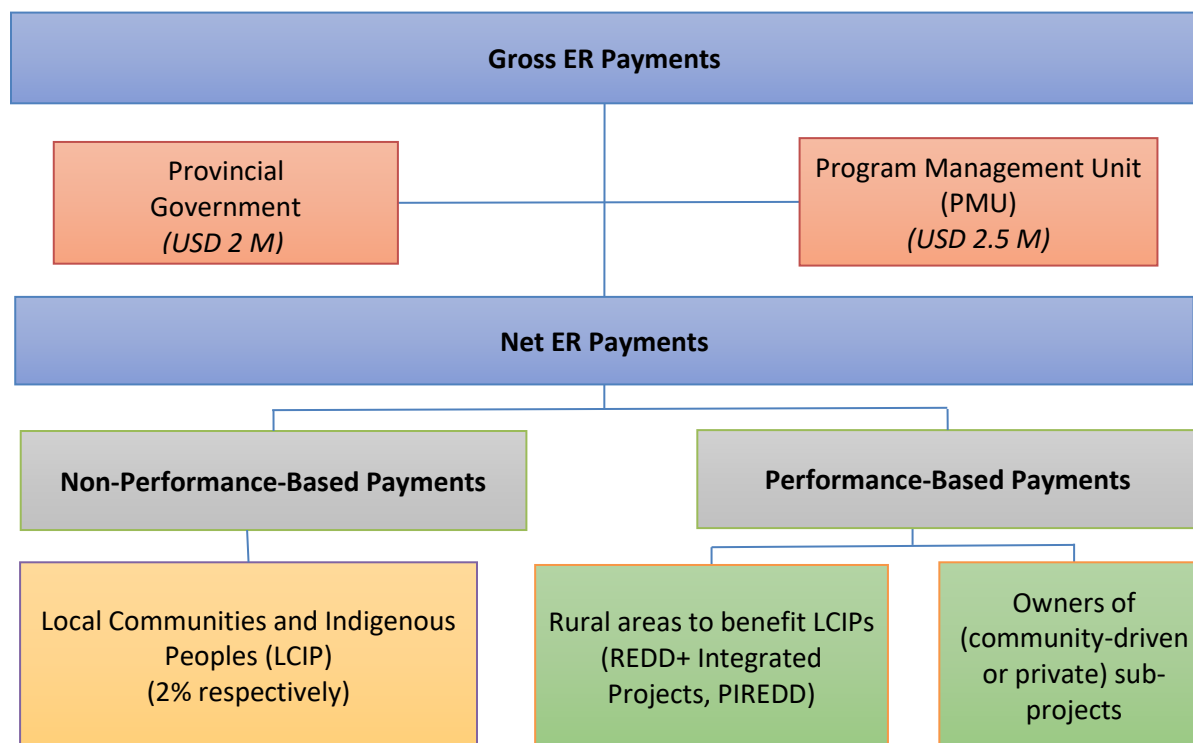
7. **The BSP defines two payment categories:**

- i. **Non-performance-based payments** made to LCIPs in recognition of their historical role and to ensure their continued and long-term participation in ERP activities.
- ii. **Performance-based payments** for participation in activities that generated emissions reductions compared to the program's or sub-project's baseline.

Non-performance-based payments will be paid first to encourage the continued participation of all stakeholders, regardless of program performance. Performance-based payments will then be shared among the various BSP beneficiaries.

8. **Net ER payments will be shared among identified beneficiaries, as illustrated in Figure 1 below.**

Figure 1 – Distribution of ER Payments for the Mai-Ndombe ERP



9. **Non-performance-based payments are meant for Local Communities and Indigenous Peoples (LCIP).** The DRC government aims to recognize past efforts by LCIPs leading to the conservation of vast forested areas and ensure their continued involvement in and commitment to the ERP's success. Non-performance-based payments represent 4 percent of the value of ERs, shared equally among IPs (2 percent) and LCs (2 percent) and must finance activities that allow LCIPs to play an active role in the ERP but also derive greater benefits from it (i.e., capacity-building), including as potential developers of REDD+ sub-projects. Activities will be implemented via local NGOs in connection with national environmental civil society platforms. Based on an activity plan and available funds, the PMU will prepare terms of reference (ToR) for activity implementation and organize a call for tender to enable NGOs to submit proposals for LCIP-supporting activities.

10. **Performance-based payments** will be distributed to final beneficiaries, and in particular to LCIPs, according to two main modes of implementation:

- i. **Investments in rural areas.** The payments will finance LCIP-supporting activities implemented according to the REDD+ Integrated Projects model (PIREDD) defined in the DRC's National REDD+ Investment Plan as integrated and sustainable rural development programs. The PIREDD aim to go beyond the limits of current instruments in the fight against deforestation and forest degradation. These programs focus on land use planning and strengthened local governance to fight deforestation and forest degradation and propose development models based on sustainable resource management. They activate several sector-specific initiatives, in a coordinated manner, in partnership with the private sector and local stakeholders in the

green economy. In addition to forest-friendly agricultural investment and plantings to increase the share of sustainable fuelwood in energy consumption, the PIREDD implement natural resource management capacity-building activities –via Natural Resource Management Plans (NRMP) from village to Province level; capacity-building for local authorities and their technical services as well as for communities and Local Development Committees (LDC); participatory mapping and land tenure security; and make Payments for Environmental Services to communities to compensate them for their participation and performance in PIREDD implementation. In order to encourage emission reduction-generating activities in rural areas, performance indicators (“proxy”) will be defined to link jurisdictional performance and efforts in the field. Similarly, risk maps will be developed to orient investments to priority rural areas.

Box 1. Ensure the continuity and strengthening of Plateau and Mai-Ndombe PIREDD activities through ERP performance-based funding

The Plateau (2015-2019) and Mai-Ndombe (2018 to today) PIREDD cover the 8 Territories of the Mai-Ndombe Province. They implement sectoral and enabling investments designed to build the capacities of local communities and territorial entities, as well as decentralized ministerial technical services, for the sustainable development of natural areas and resources; conduct participatory mapping and land tenure security activities; draft, in a participatory manner, maps and planning documents, notably Natural Resource Management Plans (NRMP) from village to Province level with the Sustainable Development Plan; support the implementation of local planning through forest-friendly agricultural investments and the strengthening of perennial crop value chains, plantings to increase the share of sustainable firewood in energy consumption, and making Payments for Environmental Services (PES) to communities to compensate agreed efforts; support the most vulnerable populations; finance investments for territorial connectivity (ex.: rehabilitation of agricultural access roads).

The table below summarizes the results achieved by the Plateau (2015-2019) and Mai-Ndombe (ongoing since 2018) PIREDD. Emission Reductions Payment Agreement (ERPA) payments from the World Bank and other ER purchase agreements will provide sustainable sources of funding for the ERP and strengthen the various enabling activities and investments supporting local communities and indigenous peoples. Thanks to PIREDD activities since 2015, 695 LDC were created or boosted and 581 NRMP were developed in the Province, providing a solid foundation for the civic participation and investments necessary to reach the ERP objectives. The maps in Appendix 1 and 2 show these results for the province.

Key ERP Results	Plateau PIREDD	Mai-Ndombe PIREDD
Number of village Local Development Committees (LDC) created or reinvigorated	215 LDC	480 LDC
Number of Rural Agricultural Management Committees (RAMC)	4 Territorial RAMC	4 Territorial RAMC 15 Sectoral RAMC
Number of Land Use Plans per jurisdictional level	101 approved Natural Resource Management Plans (NRMP) (2,414,541 hectares)	480 approved NRMP (915,872 ha)

		4 Territorial Sustainable Development Plans (SDP) Provincial SDP Provincial Decree Project
Payments for Environmental Services (PES) distributed to communities	1.36 million USD	1.5 million USD
Agroforestry areas	4,070 ha (including 429 ha of oil palms)	4,086 ha (1,595 ha of oil palms)
Set aside areas	13,994 ha	9,336 ha of savanna, 2,194 ha of forest
Number of beneficiaries	20 concession owners (1 woman) 1,553 farmers (3,551 women)	76 concession holders / farmers (including 9 women and 2 IP) 9,593 farmers (including 3,203 women and 494 IP)

ii. **Private and community-driven REDD+ sub-projects.** These projects must be duly certified at the national level (currently through the certification process), and thus have 1) their own baseline to measure their contribution to the jurisdictional effort; defined coherently to the jurisdictional baseline; and 2) their own benefit sharing plan to distribute payments to beneficiaries, notably LCIPs in their project area. Two types of sub-projects are recognized by this BSP:

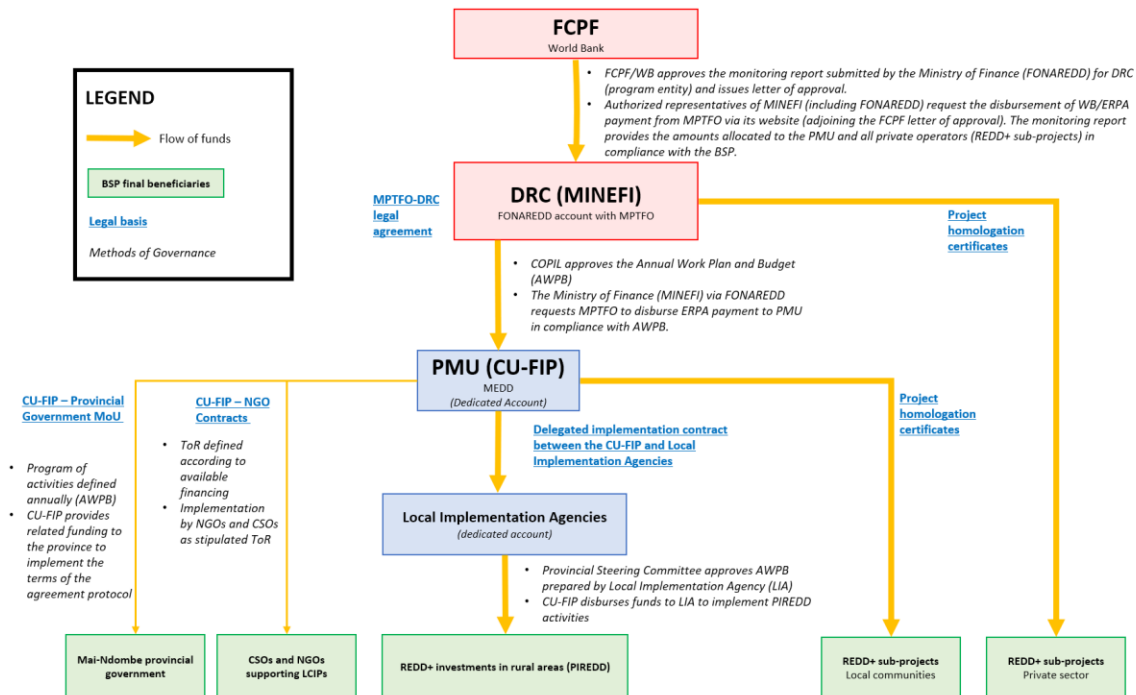
- a) **Existing sub-projects:** Currently, the only existing certified REDD+ sub-project in the ERP is the Wildlife Works Carbon (WWC) conservation concession (private owner). The project's baseline was negotiated and approved at 3.8 million tons of CO₂ per year.
- b) **New sub-projects** to be developed and certified at the national level in the future. For instance, the World Bank's Improved Forest Landscape Management Project (IFLMP) supports the development of two community-driven REDD+ projects within the scope of the ERP that could ultimately be submitted for certification and thus participate in ERP performance.

In the specific case of the World Bank's ERPA (2019-2024), monetary payments to private sub-projects will be capped for each project at 17.5% of the ERPA's nominal value, in order to ensure a fair distribution within the entire ERP perimeter, notably in rural areas not covered by sub-projects. This cap shall apply on a cumulative basis as verifications are made throughout the duration of the ERPA (2019-2024). The Program Entity may, as needed, compensate owners of private sub-projects whose contribution to ERP performance exceeds the 17.5% cap by transferring to them ERs not purchased by the World Bank's ERPA.

11. The following constitute the institutional arrangements for the implementation of the ERP and its BSP:

- **The PMU is the DRC Forest Investment Program Coordination Unit (CU-FIP) within the Ministries of the Environment and Sustainable Development (MEDD).** The CU-FIP is currently implementing the World Bank's Improved Forested Landscape Management Project (IFLMP, USD 61.03 million), which covers Mai-Ndombe Province through the Plateau PIREDD and Mai-Ndombe PIREDD. ERP management will thus benefit from the CU-FIP's: i) considerable sectoral expertise; ii) established project infrastructure, notably its Local Implementation Agencies (LIA); iii) solid references and qualifications in financial management and the implementation of environmental and social protection instruments; iv) synergies with other Mai-Ndombe ERP financing implemented by the CU-FIP (notably the Mai-Ndombe PIREDD and OPERPA project), which permit the efficient management of operating costs and the rapid implementation of ERPA-funded activities; v) and programmatic coherence for all of activities financed in Mai-Ndombe. The CU-FIP also has long-established connections with DRC REDD+ institutions (FONAREDD, CN-REDD, DIAF, etc.) as well as the environmental civil society while ensuring its independence in carrying out its duties and responsibilities. Finally, the CU-FIP receives regular and continued supervision from the World Bank.
- **The FONAREDD Steering Committee (COPIL), presided by the Minister of Finance and on which the Minister of Environment and Sustainable Development serves as vice president, is the policy- and decision-making body responsible for ensuring the ERP's operation.** Thus, it approves the ERPA Monitoring Report, authorizes disbursements, and validates ERP programming. It is composed of members of government respectively responsible for finance, environment, agriculture, energy, land affairs and land use, as well as representatives of civil society, the private sector and donors.
- **The Provincial Steering Committee is presided by the Governor of Mai-Ndombe.** It was established in 2016 and comprises representatives of the pertinent provincial ministries (Agriculture, Environment, Energy, Health, Land Use, Land Affairs), territorial administration, decentralized agencies, provincial REDD+ focal point and representatives from the private sector, civil society and Local Communities and Pygmy Indigenous Peoples. The Provincial Committee steers the ERP's implementation in the field and works closely with the PMU. It acts in a steering capacity and is in charge of political coordination at the Provincial level. It approves the Annual Work Plan and Budget (AWPB) of the Local Implementation Agencies that implement enabling and investment activities.
- **The ERPA's BSP has a solid governance structure for the monitoring and use of funds** from the World Bank (FCPF) to final beneficiaries, as shown in the diagram of Figure 2 below. It should be noted that this structure reflects the current operation of World Bank-financed projects in the environment and natural resources sector and implemented by the DRC via the MEDD and its project coordination unit, CU-FIP. Fiduciary risk mitigation measures are thus in place (notably the continuous assessment of the CU-FIP by the World Bank) and the specific needs of the ERPA will be the subject of detailed procedures in the ERP Procedures Manual.

Figure 2 – Governance and Monitoring of ERPA BSP Funds



12. The implementation of ERP activities financed by ERPA payments will benefit from the operational safeguard instruments developed as part of the IFLMP whose activities and investments have been active in Mai-Ndombe Province since 2016 (via the PIREDDs).⁴ These instruments fall within those of the nationally developed REDD+. Any activity within the ERP will fall within the national REDD+ system, notably the Safeguards Information System (SIS) being brought into operation.⁵ As the PMU, the CU-FIP will be responsible for monitoring the implementation of safeguards in the ERP zone. A safeguards specialist will be entirely dedicated to ERP activities. The LIAs in charge of implementing investments in rural areas (PIREDD) will also have safeguards experts responsible for the proper application of safeguards as part of their activities. The sub-projects will be required to submit reports on the implementation of safeguards at project level, which will be reviewed and approved by the PMU.
13. The ERP's Feedback and Grievance Redress Mechanism (FGRM) will adopt the IFLMP mechanism already in use in the field in Mai-Ndombe.⁶ This mechanism is fully operational and was updated in June 2021 following a World Bank review, notably with a view to expanding it to cover the entire ERP area. As regards ERPA activities, the FGRM will be required to: i) integrate sub-project GRMs, and ii) register grievances and responses to these with the national REDD+ FGRM once the National REDD+ Registry becomes available online.
14. The ERP's Measurement, Reporting, and Verification (MRV) mechanism provides the basis for determining the number of ERs generated by the ERP and its sub-projects. ERs will be measured and verified three times during the five years of the ERPA. The PMU in cooperation with the Directorate of Inventory and Forest Management (DIAF), the Ministry of the Environment and Sustainable Development 's (MEDD) Directorate of Sustainable Development (DDD), and the CN-

⁴ Notably, a resettlement policy framework (RPF), a process framework (PF), an indigenous peoples plan (IPP), an environmental and social management framework (ESMF), a cultural heritage protection framework (CHPF), and an integrated pest management framework (IPMF).

⁵ SIS website: <http://46.105.254.177/sis>

⁶ GRM available at: <http://www.pifrdc.org/mgp>

REDD will prepare an ER monitoring report and submit it to the FCPF Carbon Fund to be verified by an independent assessor.

15. **Emissions Reductions Payment Agreement Operationalization Support Project (OPERPA).** To ensure the effective implementation of the ERP and ERPA, a series of enabling activities will be supported by the complementary OPERPA project, amounting to USD 5 million. Activities financed by OPERPA will contribute to the operationalization and continued improvement of national REDD+ tools and their application at provincial level, notably:
 - Technical framework: Operationalization of REDD+ tools and infrastructure for the Mai-Ndombe ERP (MRV, National REDD+ Registry, methodological framework for the nesting of REDD+ sub-projects, mechanism for BSP monitoring and assessment, environmental and social safeguards and GRM)
 - Legal and regulatory framework: Strengthening the legal and governance bases of the Mai-Ndombe ERP (development support for the homologation decree and any other national certification process for REDD+ projects and programs, transparency and integrity of national REDD+ infrastructures, political developments, and carbon finance regulatory framework)
 - Institutional framework: Capacity-building for Mai-Ndombe ERP institutions and stakeholders (national level, provincial level, stakeholder involvement)
16. **The Capacity-Building Program (CBP) financed by the FCPF will further strengthen the BSP's socialization aspects by providing targeted and complementary support to LCIPs.** Activities will focus on filling underlying gaps in key aspects of the investments financed by ERPA as part of the ERP, particularly land tenure, natural resource management, and gender issues. These activities will be implemented in 2022 via civil society platforms and local NGOs operating in Mai-Ndombe.
17. **The BSP presented here applies to the product of the sale of ER generated by the ERP for the period 2019-2024 in accordance with the World Bank ERPA monitoring period.** However, as noted in paragraph 10 above, the 17.5% cap applied to payments to private sub-project owners is specific to the World Bank ERPA and thus does not automatically apply to other purchase/sale agreements concluded by the Program Entity.

1 Introduction

1.1 Presentation of Emissions Reductions Program

18. The Government of the Democratic Republic of Congo (DRC) has made a commitment to reduce deforestation through low-carbon development strategies that include REDD+. DRC views the environment and the fight against climate change as strategic pillars of national policy and in 2021 submitted a revised Nationally Determined Contribution (NDC)⁷ to the UNFCCC with mitigation in mind. Specific emissions reduction goals for the land sector have been presented, including reduced deforestation, increased reforestation, and improved agricultural practices. In 2012, DRC adopted a REDD+ National Strategy, thus demonstrating a vision of how a country can meet its long-term development aspirations through a green economy. The strategy aims to stabilize forest cover over two-thirds of the country's surface area by 2030 and then maintain it at 63.5 percent of the national territory.
19. DRC's national REDD + framework was established to enable coordinated land use action and finance as the basis for the country's efforts toward climate change mitigation, sustainable development, and poverty reduction. DRC's 2018 REDD+ Ministerial Homologation Decree⁸ is based on the concept of "nesting,"⁹ i.e., the integration of forest carbon projects into larger-scale REDD+ programs while allowing them to continue generating carbon credits.¹⁰ DRC thus opted for a hybrid model of both centralized and decentralized nesting (see Figure 2), in which emissions reductions (ERs) are credited at both project and national levels, where projects are encouraged and receive compensation for their performance while authorized to generate additional ERs for the voluntary market and the government monitors ERs and the distribution of carbon benefits according to an allocation formula. This reflects DRC's vision of promoting a mix of jurisdictional and local REDD+ activities as a way to include the land sector in national mitigation actions, stimulate private investment, and provide operational on-the-ground capacity.

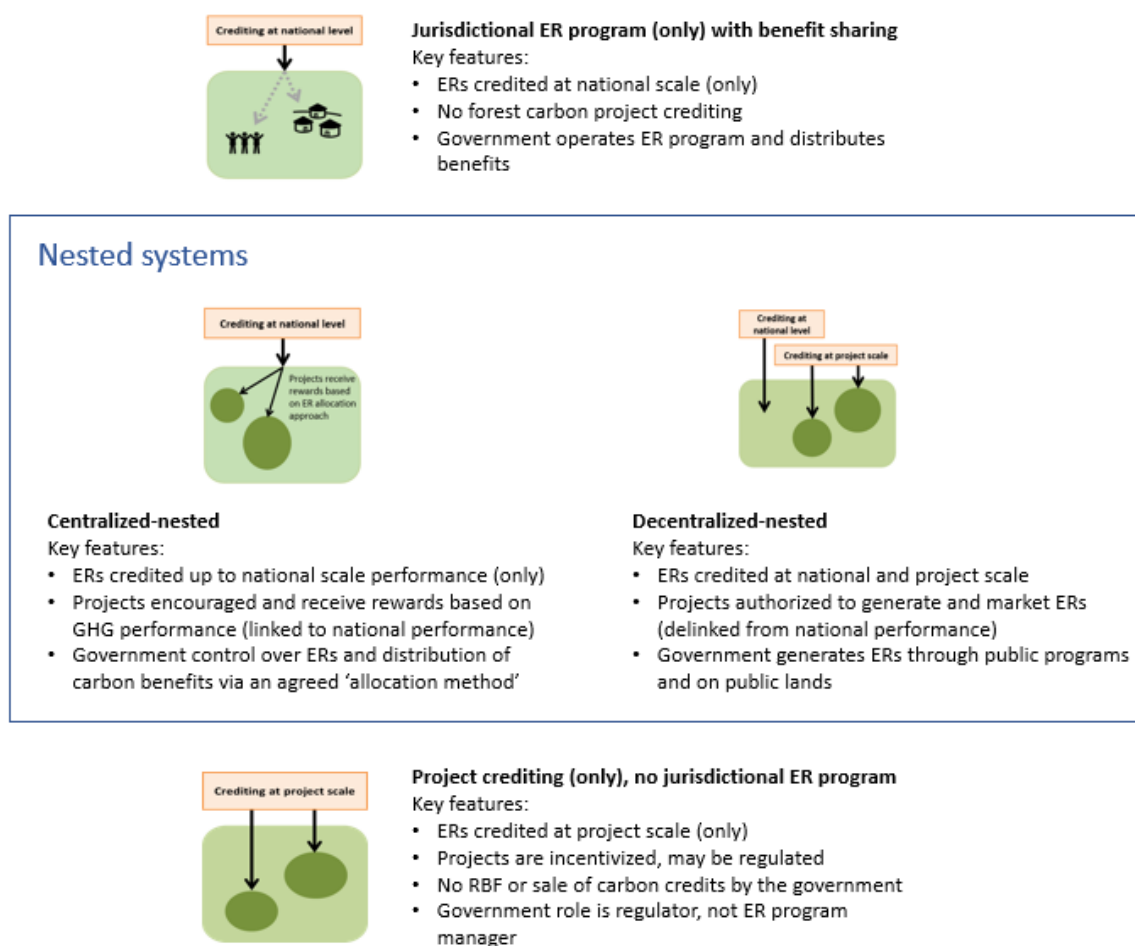
⁷ NDC aims to reduce carbon emissions by 17 percent by 2030 in an ad hoc scenario. The document is available at: <https://www4.unfccc.int/sites/ndcstaging/PublishedDocuments/Democratic%20Republic%20of%20the%20Congo%20First/CDN%20Revised%20NDC%20of%20the%20DRC.pdf>

⁸ As stated in Box 1 page 26, the OPERPA project (\$5M TA) will include an activity to support the continued improvement of the Homologation Decree and its procedure manual (or any other current measure for the national certification of REDD+ projects) to ensure it is operational and compliant with best practices and international political developments, including in the Paris Agreement. The current version of the Homologation Decree in force (2018) is available at: <http://extwprlegs1.fao.org/docs/pdf/Cng189387.pdf#page=3>.

⁹ There is no internationally agreed-upon definition for nesting. In fact, people often mean quite different things when using this term. Some consider nesting in the narrow context of aligning GHG measurement, monitoring, and reporting of smaller-scale systems such as projects involving larger-scale (subnational or national) systems such as those that align ER claims by carbon projects with the GHG inventories that form the basis for Nationally Determined Contributions (NDCs). Others take the broader view that nesting is about harmonizing the implementation of REDD+ activities at multiple governance levels and geographical scales. In the latter case, nesting can encompass, for example, national-scale ER programs that employ a benefit-sharing approach for distributing funds received from monetizing ERs, frameworks that enable site-scale activities, or small-scale projects that can directly generate and issue ERs. *Climate Focus, 2021, Nesting of REDD+ Initiatives: Guidance for policy makers*, FCPF, World Bank, Washington, DC: <https://openknowledge.worldbank.org/handle/10986/36363>

¹⁰ Lee, D. et al. 2018. *Approaches to REDD+ Nesting: Lessons Learned from Country Experiences*. World Bank, Washington, DC.

Figure 3 – Nesting of REDD+ activities



Source: Climate Focus, 2021, Nesting of REDD+ Initiatives: Guidance for policy makers, FCPF, World Bank

20. DRC has committed to and argued for the REDD+ process since 2009 and has developed a large-scale REDD+ program of results-based payments in Mai-Ndombe Province designed to have a significant impact on climate, generate essential development benefits, and engage unprecedented apprenticeships for all stakeholders, notably the FCPF's Carbon Fund. The country was one of the first to present a Program Concept Note for an Emissions Reduction Program (ERP-CN) in April 2014 and the first to present a Readiness Package in May 2015. The Emission Reductions Program Document (ERPD) for Mai-Ndombe was drafted over a period of almost two years in close and frequent consultation with local, national, and international stakeholders, including civil society and indigenous peoples.

21. The Mai-Ndombe ER Program's ambition is to implement a green development model at provincial level, offering alternatives to deforestation and granting performance bonuses to mitigate climate change, reduce poverty, manage natural resources sustainably, and protect biodiversity. The program was conceived to bring together a variety of funding sources such as the Forest Investment Program (FIP) and the Central African Forest Initiative (CAFI) and obtain private financing to intensify pilot activities and support transition to large-scale land use planning.

1.2 National Policy Framework: REDD+ Institutions and Tools

22. The ER Program is not implemented in isolation but as part of the national REDD+ framework, which includes:
- Implementation of political reforms linked to REDD+ such as land use planning, land tenure, sustainable agriculture, and sustainable forest management.
 - REDD+ infrastructure, including national REDD+ tools such as the REDD+ registry, the Grievance Redress Mechanism (GRM), monitoring of REDD+ environmental and social standards, and the Measuring, Reporting and Verification (MRV) mechanism. It should be noted that to be fully functional, REDD+ infrastructure must still be supported financially and technically.
 - Functional national REDD+ institutions such as the National REDD+ Fund Steering Committee (FONAREDD COPIL), the FONAREDD Executive Secretariat, and National REDD+ Coordination (CN-REDD) under the Directorate of Sustainable Development (DDD) in the Ministry of Environment and Sustainable Development (MEDD), and civil society.
23. Most REDD+ institutions and tools were established by MEDD through CN-REDD during the REDD+ readiness phase. They are not specific to the Mai-Ndombe ER Program but concern any REDD+ activity in DRC. In addition, REDD+ policy reforms are underway as part of the implementation of the National REDD+ Investment Plan supported by CAFI.¹¹ Such reforms provide important enabling conditions for the ER Program and for any other REDD+ activity in DRC. So far, the FONAREDD COPIL has approved 16 programs, leading to over USD 250 million being approved since the Fund's capitalization by CAFI, of which almost USD 100 million has been disbursed. The FONAREDD/CAFI portfolio, which contributes indirectly to the ER Program, is shown in Annex 1.

1.3 Goals of the Benefit and Incentive Sharing Plan

24. The Benefit Sharing Plan (BSP) is essential to the sustainable establishment of the ER program and to encourage beneficiaries to make a long-term commitment.
25. In DRC's particular case, selected beneficiaries are best placed to:
- Contribute directly to reducing emissions from deforestation, forest degradation, and other land uses and thereby achieve results;
 - Use both monetary and non-monetary benefits to carry out effective ER Program interventions;
 - Legitimately claim that they are making long-term efforts and show commitment to a sustainably managed forest and conservation of forest cover despite poor national carbon performance, often unattributable to their actions.
26. **The BSP presented here applies to the product of the sale of ER generated by the ERP for the period 2019-2024 in accordance with the World Bank ERPA monitoring period.** However, as noted in paragraph 10 above, the 17.5% cap applied to payments to private sub-project owners is specific to the World Bank ERPA and thus does not automatically apply to other purchase/sale agreements concluded by the Program Entity. .

¹¹ Financing for the first DRC-CAFI partnership (2015–2020) could not support finalization and operationalization of certain tools required for optimal operationalization of the REDD mechanism, notably the Registry and the SIS. The second DRC-CAFI partnership currently being negotiated is expected to achieve the necessary reforms for effective REDD+ governance.

27. Its continued improvement stems from the same process of stakeholder consultation and involvement as that implemented during development. The expectations, preferences, and priorities of beneficiaries were considered in an inclusive and widely participatory way. The BSP identifies ER Program beneficiaries and specifies the mechanisms, channels, calculation rules, and provisional timetable for actual disbursement of payments within each of the two categories.

1.4 Benefit Sharing Development Process

28. The Mai-Ndombe ER Program was provisionally selected from the FCPF's Carbon Fund portfolio in June 2016 via Resolution CFM/14/2016/1 and finalized in December 2016. The Project's advanced version of the BSP of the Mai-Ndombe ER Program, which is based on the ERPD,¹² was approved by FCPF in June 2018. The latest BSP Project is the result of a process of stakeholder participation and was conceived to meet the criteria set out in the Methodological Framework¹³ of the FCPF's Carbon Fund (Criteria 29 to 33). Pursuant to notes from FCPF, a BSP Working Group (WG) was set up on November 12, 2018 to respond to and finalize the sharing plan and set out a schedule (revised on February 26, 2019) for the production of a framework document to facilitate discussions and finalize the latest version of the BSP. The framework document was made available to the WG on April 5, 2019, and a second WG meeting on the BSP was held on April 11, 2019 to bring all WG members up to speed in terms of information and comprehension. A third meeting was held on May 15, 2019, at which the WG approved the framework document's options and provided additional details on the BSP. The WG also met on June 19, 2019 to firm up the framework document's options, present the methodology and activities for consultation with Local Communities and Indigenous Peoples (LCIP) in order to finalize the BSP, and discuss steps to conclude and approve the Program. It should be noted that the work of the WG slowed and was at times suspended during 2020-2021. This was due to ongoing work on a review of the ER Program's baseline, which led to a great deal of uncertainty as to the viability of ERPA, and to discussions with FCPF donors taking up all WG members' time. WG work then restarted and concluded at the WG's 10th meeting, which was held at MEDD on February 28, 2022, following which the remaining elements of BSP finalization and dates for approval workshops at provincial and national levels were decided. The present final version of the BSP is the result of the participative process described above and presented at the provincial level at the ERP Steering Committee meeting held on April 21, 2022 in Inongo. It was also approved at a national workshop on May 6, 2022. The process of stakeholder consultation followed in developing the BSP is described below.

29. Note that in-depth consultations were held during BSP finalization with Mai-Ndombe LCIPs in various locations in Mai-Ndombe province between September and November 2019 to gather the views of LCIPs on key aspects of the BSP and to update the finalization process. Consultations directly involved approximately 2,500 people and were led by experts from the Network of Indigenous and Local Populations for the Sustainable Management of Forest Ecosystems (REPALEF), the REDD Rénové Climate Working Group (GTCRR), the REDD Climate Working Group (GTCR), the Young People's Movement for the Environment and Sustainable Development (DYJEDD), and the Coalition of Women Leaders for the Environment and Sustainable Development (CFLEDD). The consultation report was finalized in June 2020 and published on the GTCRR and REPALEF websites.¹⁴ Feedback and suggestions from consultations with LCIPs were discussed by

¹² The ERPD is available on the FCPF website at:

https://www.forestcarbonpartnership.org/sites/fcp/files/2016/Dec/20161108%20Revised%20ERPD_DRC.pdf

¹³ The Methodological Framework is available (in French) at:

<https://www.forestcarbonpartnership.org/sites/fcp/files/2016/July/FCPF%20Cadre%20M%C3%A9thodologique%20revis%C3%A9e.pdf>

¹⁴ <http://peuplesautochtones.cd/events/rapport-des-consultations-aupres-des-peuples-autochtones-et-communautes-locales-des-zone-juridictionnelle-du-programme-de-reduction-des-emissions-dans-le-mai-ndombe>

the WG and integrated into the BSP. The consultation process is described in Section 8 of this document.

1.5 Benefit Sharing Plan Principles

30. The sharing plan is based on the following principles, as defined in the ERPD:

- Benefit sharing is based on the principle of equity and aims to distribute the ER Program's costs and benefits equitably among stakeholders who actually contribute to implementing its activities by tackling deforestation and degradation factors, protecting forests, or otherwise facilitating the ER Program implementation.
- Benefit-sharing mainly involves distribution of financial benefits for verified emissions reductions generated by ER Program activities, with beneficiaries receiving a proportionate share of the benefits for their performance and participation in implementing the ER Program's activities.
- In this respect, distribution of benefits also takes account of incentives linked to initial investments (*investment incentives*). Stakeholders receive direct benefits in the form of technical, financial or political support on the basis of various forms of initial investment to encourage participation in ER Program activities.
- Benefits are shared both monetarily and non-monetarily. Benefits are distributed both in monetary (e.g., cash payments) and non-monetary form (e.g., via technical, financial or political incentives). These may be made as payments for environmental services (PES), financial assets (CRE) negotiable by mutual consent or in a regulated market, income from CRE sales, and incentives (goods and services) financed by PESs and income from CER sales.
- In addition to the carbon benefits which are the subject of this BSP, stakeholders benefit indirectly from their participation in ER Program activities and from adopting better land use practices. The ER Program aims to optimize non-carbon benefits, including social, environmental, and economic benefits. Feasibility studies have been carried out based on a cost-benefit analysis (including non-carbon benefits) to examine the level of incentive necessary to induce a change in practices.
- The transparency principle underlying benefit sharing contracts as well as that of free informed prior consent (FIPC) are applied to agreements between the government and leaders of nested projects, sub-contracts made with local communities, and other implementation contracts or contracts based on proxy indicators concluded with the private sector and local communities. The FIPC principle applies to all subcontracts with a forest or agricultural concession, especially if proposed activities lead to repercussions over the land use rights of communities or existing contracts (e.g., contractual requirements with forest enterprises).
- Creating reinvestment capacity. The Program creates net carbon benefits through: i) carbon revenue generated by initial investments such as those of the Improved Forested Landscape Management Project in the ER Program area (Plateau PIREDD; Mai-Ndombe PIREDD); ii) the carbon revenues invested in new PIREDD activities in rural areas; and iii) benefits shared between nested (private and community-driven) project leaders after recovery of operational costs.

1.6 Benefit Sharing Plan: Legal Context

31. The Ministerial Homologation Decree¹⁵ provides the legal basis and procedures currently in effect for national approval of all REDD+ projects and programs. The decree formalizes—among others—rules and procedures regarding project and program baselines; their benefit sharing plans; the application of safeguards instruments – in compliance with REDD+ social and environmental standards, including the Grievance Redress Mechanism (GRM); and title transfer of emissions reductions. The emissions reductions generated by a REDD+ jurisdictional program, such as the Mai-Ndombe ER Program, are to be measured in relation to the jurisdictional baseline. A program typically integrates REDD+ projects as a sub-project or nesting project with sub-baselines approved by the Program Entity in a consultative and transparent manner.
32. Carbon rights are not explicitly mentioned in the country’s legislation except in the context of the law on administrative procedures formulated in the Homologation Decree, which was last revised in 2018. Regulations, property rights, and transfer of ownership rights applicable to Emissions Reduction Units were established by the 2018 Homologation Decree. As a result, carbon rights, the legal status of which is defined in Article 3, are exclusively outlined in a specific registry in the Homologation Decree. At the Council of Ministers meeting in July 2021, the Government proposed 10 urgent measures for the sustainable management of DRC’s natural resources, including establishing a carbon tax and creating a regulatory authority for the carbon market. These developments could imply a future revision of the national approval process for REDD+ projects and programs.
33. The DRC Government has full, unqualified, and exclusive rights to ER Program carbon credits. Transfer of ownership relative to these rights is accounted for by the registry planned in the Homologation Decree following transfer of ownership in compliance with the terms of the current BSP, which takes account of current and future contractual arrangements. Furthermore, Article 28 of the Homologation Decree regulates conditions for suspension or withdrawal from Program homologation, which may not be retroactive and may only block generation of further CERUs from suspension or withdrawal.
34. Permits and administrative conservation agreements (public law). Of fairly recent origin, Congolese law within the Homologation Decree now recognizes the right of any person or legal entity established in DRC to carry out REDD+ activities as a project promoter (or project leader) following the project’s homologation by the regulator (MEDD). The Decree determines the procedure established for future project leaders, with all legal entities being *a priori* eligible to know the holders of land tenure or other rights, whether public or private and to register their activities in the national REDD+ program. These activities are then approved in terms of international standards, as agreed by the DRC Government (Annex V, The Decree) and benefit from direct access to what are now known as Emissions Reduction Credits issued in a registry and nested in the national system for commercialization by back-to-back operations.
35. For project leaders to be recognized, the Homologation Decree (review of which is pending) requires partnership contracts to have been concluded with the Government (represented by MEDD). This is an important element, in parallel with the mandatory adoption of an agreement between the project leader and LCIPs and is considered a precondition to the right of the project leader to commercialize REDD+ carbon credits. It should be noted that the Decree makes a distinction between emissions reduction and carbon credits, the latter involving an approval procedure in accordance with international standards. It should also be noted that regulation is limited to procedural matters and does not create specific carbon rights or constitute a legal basis for implementation. At this stage, applications for specific activities leading to project leader status

¹⁵ The current version (2018) of the Homologation Decree is available at:
<http://extwprlegs1.fao.org/docs/pdf/Cng189387.pdf#page=3>

have not been received and are not expected in the near future. If a project leader is approved, this will have an impact on the course of action and authority of the Government (represented by MEDD) to transfer ERs and Emissions Reduction Credits. It will also be necessary to proceed under partnership contracts between MEDD and future project leaders. In such cases, all ERs reserved for project leaders will be allocated entirely to the Government before ERPA execution or, depending on the case, considered a precondition for payment.

2. Emission Reduction Program Beneficiaries

2.1 Definition of Beneficiaries

36. The sharing of ER Program benefits (in-kind and monetary) derived from the sale of ERs is based on the performance of program actors, including in nested projects. Three types of beneficiaries may receive payments from the RE Program:

- Local Communities and Indigenous Peoples (LCIP) in recognition of their efforts to reduce emissions and/or their willingness to do so. LCIPs participate in ERP activities in different ways, namely: i) capacity building activities financed by non-performance-based payments (4 percent of ERPA value); and (ii) community investment activities financed by performance-based payments, either as part of rural area activities (based on the PIREDD model) or through nested projects, whether their developers are private or community-based.
- The private sector, including forestry and conservation concession owners, sustainable charcoal producers, farmers, and others for ERs generated by nested projects and verified against an agreed-upon baseline. As defined by the Homologation Decree, nested projects have a BSP that defines the benefits accruing to LCIPs within their boundaries.

Table 1. Entities Receiving ERP Payments

ENTITIES	ERP RESPONSIBILITIES
Local Communities and Indigenous Peoples	<ul style="list-style-type: none"> • Key ERP stakeholders and beneficiaries • Critical historical role in sustainable forest development • Commitment to using sustainable land use practices to reduce deforestation
Provincial Government¹⁶	<ul style="list-style-type: none"> • Coordination and supervision of ERP activities in the field, including via the participation of technical services • Liaison with ERP stakeholders, notably local communities and indigenous peoples • Presiding the ERP Provincial Steering Committee responsible for approving the direction of implementation and work plans of the various implementing agencies
Private or Community Nested Project Owners	<ul style="list-style-type: none"> • Private project owners include logging concession holders, conservation concession holders, etc. • Implementation of private initiatives to further reduce deforestation in the ERP area through reforestation and sustainable forest management, among others.

¹⁶ Including the Governorate, the provincial administration of the environment, finance and planning, the decentralized territorial entities (eight Territories, the sectors and the various Groupings).

Local Communities and Indigenous Peoples in Rural Areas (PIREDD)

- These are local communities and indigenous peoples in Mai-Ndombe who benefit from activities funded by the BSP in these areas and implemented according to the Integrated Programs (PIREDD) model, such as the Plateau and Mai-Ndombe PIREDDs
- Activities mainly involve support to rural populations, including vulnerable and marginalized people, planning for better natural resource management, forest-friendly agricultural investments that improve communities' livelihoods, support for the development of industry sectors, construction of infrastructure, etc.

Project Management Unit (PMU)

- Daily ER Program management, notably administrative and financial management
- Strategic and technical coordination of ER Program activities
- Monitoring and evaluation of ER Program activities by the various implementing agencies and entities
- Facilitating the work of the various ER Program governing bodies
- Drafting ER Monitoring Reports including annexes on non-carbon aspects
- Facilitating the commercialization of ERs
- Coordination with REDD+ governmental entities (CNREDD, DIAF, DDD, etc.) supporting the operation of the ER Program in connection with REDD+ tools at the national level

37. Regarding private project owners, in 2011, Wildlife Works Carbon (WWC), a California-based REDD+ project developer, obtained logging rights to two large forest concessions comprising nearly 300,000 hectares of forest land surrounding Lake Mai-Ndombe. However, instead of logging the forest, WWC created a conservation concession and started a carbon offset project designed to leverage ERs generated by the sale of carbon credits so as to promote biodiversity conservation and improve livelihoods in and around the concession. In 2012, WWC certified the Mai-Ndombe REDD+ Project according to the Verified Carbon Standards (VCS) and the Climate, Community, and Biodiversity Standards (CCBS). In the same year, WWC verified over 2.5 million tons of carbon credits against the VCS and CCBS. To date, the project has issued over 13.3 million carbon credits from March 14, 2011 to December 31, 2016. WWC's Mai-Ndombe REDD+ project is located within the ERP and is a nested ERP project. To this end, the WWC project developer had to negotiate a baseline sub-scenario under the ERP that is now set at 3,800,000 tCO₂ per year compared to 5,671,613 tCO₂eq per year achieved under the VCS. As a participant in the ERP through nesting, WWC no longer generates VCS credits, or Verified Carbon Units (VCU), using its VCS baseline. Instead, Congolese Emissions Reductions (CER) is generated in accordance with the FCPF Methodological Framework as well as the modalities defined in the ERP BSP.

2.2 Eligibility Criteria for Beneficiaries

2.2.1 Non-performance-based payments

Local Communities and Indigenous Peoples

38. The DRC government is keen to recognize the past efforts of IPs and local communities (with 2 percent of ERPA value, respectively) that have led to the conservation of large areas of forest and to ensure their continued involvement and commitment to the success of the ERP. This funding is

intended to support activities that enable LCIPs to play an active role in the ERP but also to better benefit from it, including as developers of nested REDD+ projects, where appropriate.

39. IPs receive special attention in the ERP, for two reasons. First, the ERP recognizes the historical role played by IPs in sustainable forest management. Second, IPs in DRC are among the poorest people in the world, and improving their livelihoods is a prioritized co-benefit of the ERP.
40. The 2 percent figure was discussed with IPs through the Network of Indigenous and Local Populations for the Sustainable Management of Forest Ecosystems (REPALEF) and is fully supported by all ERP stakeholders. As agreed with IP, the 2 percent figure is commensurate with the core analytical work of the DGM, in parallel and complementary to ER Program activities, which devotes USD 6 million to supporting intellectual property at national level.

2.2.2 Performance-based payments

41. **Performance-based payments** will be distributed to the final beneficiaries, notably the LCIPs, according to two main implementation methods:
 - o **Investments in rural areas.** Payments will finance activities benefiting local communities and indigenous peoples that have been implemented according to the Integrated REDD+ Project (PIREDD) model (as integrated and sustainable rural development program)s and defined in the DRC National REDD+ Investment Plan. The PIREDD aim to go beyond the limits of current instruments in the fight against deforestation and forest degradation and propose development models based on sustainable resource management. These programs focus on land use planning and strengthened local governance to fight deforestation and forest degradation and propose development models based on sustainable resource management. They activate several sector-specific initiatives, in a coordinated manner, in partnership with the private sector and local stakeholders in the green economy. In addition to forest-friendly agricultural investment and plantings to increase the share of sustainable fuelwood in energy consumption, the PIREDD implement natural resource management capacity-building activities – notably via Natural Resource Management Plans (NRMP) from village to Province level; capacity-building for local authorities and their technical services as well as for communities and Local Development Committees (LDC); participatory mapping and land tenure security; and make Payments for Environmental Services to communities to compensate them for their participation and performance in PIREDD implementation. In order to encourage emission reduction-generating activities in rural areas, performance indicators (“proxy”) will be defined to link jurisdictional performance and efforts in the field. Similarly, risk maps will be developed to orient investments to priority rural areas.
 - o **Private and community-driven nested REDD+ projects.** These projects must be duly homologated and thus have 1) their own baseline to measure their contribution to the jurisdictional effort; and as such defined coherently to the jurisdictional baseline; and 2) their own benefit sharing plan to distribute payments to beneficiaries, notably LCIPs in their project area. Two types of sub-projects are recognized by this BSP:
 - **Existing nested projects:** Currently, the only existing homologated nested REDD+ project in the ERP is the Wildlife Works Carbon (WWC, private owner) conservation

concession. The project's baseline was negotiated and approved at 3.8 million tons of CO2 per year.

- **New nested projects** to be developed and homologated in the future. For instance, the World Bank's Improved Forest Landscape Management Project (IFLMP) supports the development of two community-driven REDD+ nested projects within the scope of the ERP that could ultimately be submitted for homologation and thus participate in this BSP.

42. **In the specific case of the World Bank's ERPA (2019-2024), monetary payments to private nested projects will be capped for each project at 17.5% of the ERPA's nominal value**, in order to ensure a fair distribution within the entire ERP perimeter, notably in rural areas not covered by nested projects. This cap shall apply on a cumulative basis as verifications are made throughout the duration of the ERPA (2019-2024). The Program Entity may, as needed, compensate owners of private nested projects whose contribution to ERP performance exceeds the 17.5% cap by transferring to them ERs not purchased by the World Bank's ERPA. It should be noted that this cap thus automatically applies to other purchase agreements concluded by the Program Entity.

Private or Community Project Owners

43. In accordance with the Homologation Decree, nested REDD+ project owners, whether private or community-based, are eligible for Jurisdictional Program benefits (both monetary and in-kind ERs) provided that:

- Payments are made according to a baseline validated by the Ministry of the Environment and Sustainable Development (MEDD) for the nested project area in accordance with a carbon standard itself accredited by the Ministry;
- The distribution of revenues among nested REDD+ project beneficiaries is made according to a validated benefit-sharing plan;¹⁷ and
- The developers of nested REDD+ projects comply with the DRC's REDD+ socio-environmental standard in the implementation of activities.

44. As described above, the BSP distinguishes between beneficiaries already involved in existing sub-projects and ongoing activities (i.e., where project documents already exist) and those that may be involved in future or potential sub-projects and will therefore need to develop specific project documents for defined activities:

1. Existing sub-projects: To date, only one nested REDD+ project is in operation within the Mai Ndombe REDD+ Jurisdictional Program: the Wildlife Works Carbon (WWC), a private project owner with a conservation concession and a validated baseline scenario of 3.8 million ttCO2 per year.
2. New nested projects may potentially be developed and participate in the ERP. The Improved Forested Landscape Management Project (IFLMP) financed by GEF is working to identify two community-based REDD+ projects submitted for approval to become nested REDD+ projects. To be eligible for payments under the ERP, a nested REDD+ project needs to follow the homologation procedure as defined in the current version of the Homologation Decree and detailed in its procedures manual. The homologation procedure includes:
 - Being listed in the Registry: The project owner applies for registration to the registrar, who collects all the necessary documents and evidence;

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- Approval of the nested REDD+ project by MEDD based on the application to the Registrar.

45. Baseline for sub-projects. A key element of project proposals is the baseline for sub-projects. For the Mai-Ndombe ERP, baselines are allocated to sub-projects by dedicated national bodies (notably DIAF and DDD) working with the PMU following a transparent negotiation process. This process is validated as part of the project proposal at the jurisdictional level by a Provincial Steering Committee.

46. Future nested projects will need to have their own baseline while adhering to the jurisdictional baseline. The development of sub-baselines will in principle follow the logic of the FCPF Carbon Fund applied at ERP level and will be based on two components:

- i) Historical emissions resulting from the ERP baseline (average annual emissions during the baseline period); and
- ii) Adjustment of historical emissions based on several criteria supported by—among others—a risk map indicating current and future pressures on forests. The determination of current and future threats to forests (drivers of deforestation and forest degradation) will include—among others—the following criteria:
 - Distance of the sub-project area from the forest boundary, roads, population centers, population estimates, navigable river, national borders, major domestic markets, and access to international markets;
 - Law enforcement capacity; and
 - Vulnerability of the forest perimeter in the project area, i.e., length of forest edge to the border and length of forest edge adjacent to road.

47. Private sub-projects are registered with both the CN-REDD DDD (Registrar) and the PMU. The PMU develops a template for these project proposals, which should include the following details:

- Mapping of forest extent and forest carbon stocks for the sub-project area of accountability proposed by the manager;
- Historical emissions as well as current and future threats (drivers of deforestation and forest degradation) to the sub-project's area of accountability;
- Baseline and emissions reduction potential;
- Level of investment proposed by the manager to reduce emissions in the sub-project's area of accountability;
- Plan for community engagement in the sub-project; and
- Project benefit sharing plan.¹⁸

48. To validate the nested project proposal as a recipient of ERP payments, the ERP Steering Committee (COPIL) ensures that a certificate of eligibility is issued by CN-REDD and DIAF together with the PMU and based on validation or verification reports on nested REDD+ projects. Finally, FONAREDD/SEF issues a No-Objection Letter NOL).

3 Benefits of the Emission Reduction Program

¹⁸ According to the current effective homologation process, nested projects registered by the Ministry of Environment (CN-REDD) will be approved (and verified) according to 1) an international standard (according to Annex B of the Homologation Decree Procedures Manual including VCS, Gold Standard, FCPF, GRM, CCBA, Plan Vivo) or 2) a national standard (which as of today has not yet been developed). These international norms include benefit-sharing and social inclusion requirements.

3.1 Carbon Benefits

49. The BSP is based on two main types of carbon benefits:

- i. Monetary benefits. Beneficiaries receive a share of revenues as a reward for their performance and participation in the implementation of ERP activities. The distribution of benefits is based on carbon outcomes corresponding either to the amount of carbon not emitted or sequestered relative to the emissions baseline or to indirect (proxy) indicators such as the area (in hectares) of forest land protected.
- ii. Non-monetary benefits. Beneficiaries receive non-monetary benefits in the form of technical, financial, and policy support to encourage their participation in ERP activities. Funding for these non-monetary benefits may come directly from the sale of carbon credits (ERPA) but also from additional funding under the ERP.

3.2 Non-Carbon Benefits

50. Non-carbon benefits are not part of this Benefit Sharing Plan but are additional benefits to the carbon benefits shared via the BSP. Priority non-carbon benefits were identified as part of feasibility studies prior to the preparation of sub-investment programs such as the Plateau PIREDD IFLMP FIP grant¹⁹ and the Mai-Ndombe PIREDD IFLMP CAFI grant.²⁰ Following stakeholder consultations, four main categories of non-carbon benefits were identified as priorities and conditions for program success in order to engage and retain stakeholders in the implementation of mitigation activities.

Table 2. Description of Non-Carbon Benefits of ERP

NON-CARBON BENEFITS	DESCRIPTION
BIODIVERSITY Biodiversity is maintained and ecosystem services are enhanced	Program co-benefits associated with biodiversity shared among different types of stakeholders include improved protection of land fertility, sustainable agriculture, increased economic opportunities such as Non-Timber Forest Products (NTFP), and eco-tourism. These give greater power to the government conservation agency and provide opportunities for logging or farming enterprises that wish to engage in an environmental certification scheme in order to secure a high price for their products.

¹⁹ <https://www.pifrdc.org/ucpif>

²⁰ <https://www.cafi.org/countries/democratic-republic-congo/piredd-mai-ndombe-province>

<p>RIGHTS</p> <p>The legal, customary, and user rights of local communities and indigenous peoples to land, property, and resources are recognized, respected, and enhanced</p>	<p>Initial ERP investments, notably the Plateau and Mai-Ndombe PIREDDs, have made it possible to launch spatial planning operations at various levels (local, decentralized institutions, provincial). This process began at the local level (with over 600 Simple Management Plans (SMP) developed in the province to date) by identifying uses and rights through the development and validation of a participatory map. This informs the elaboration of Sustainable Development Plans (SDP) at local levels currently being finalized. The collective and individual rights identified through this process are recognized and enforced by local authorities.</p>
<p>LIVELIHOODS</p> <p>REDD+ benefits are shared equitably, improving local long-term livelihoods and stakeholder well-being, with a focus on the most vulnerable groups</p>	<p>Generating additional income from higher yields and diversification of agricultural income sources is central to the program's strategy. Its objective is to use agroforestry to demonstrate the profitability of exploiting savannah areas independently of carbon revenues (food crops based on better varieties combined with energy from wood or fruit, palm oil, or rubber). Its other objective is to rehabilitate or develop perennial crops that generate new sources of income and divert labor from slash-and-burn farming practices. Initial investments by the Plateau and Mai-Ndombe PIREDDs have so far resulted in about 8,000 hectares of agroforestry plantations in the province.</p>
<p>FUNDING AND GOVERNANCE</p> <p>Immediate, sufficient, and predictable resources are mobilized to reward performance in priority forest areas in an equitable, transparent, participatory, and coordinated manner</p>	<p>The various support programs under CAFI provide the necessary resources to reward commitment to forest conservation.</p>

4 Distribution of Carbon Benefits among Beneficiaries

4.1 Gross and Net Benefits from ER Program at National Level

51. The benefits of the ER program derive from ER payments. Gross payments are the total volume of ER payments made to DRC over a given reporting period.
52. The implementation of the ER program and its BSP involves a wide range of costs. In order for the ER program and the BSP system to be viable, all these costs must be properly covered throughout the implementation of the ER program. To this end, gross payments are first used to cover operational costs.

$\text{ER gross payment} - \text{Operational costs} = \text{Net performance-based ER payment}$
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4.2 Operational Costs

- Fixed costs are independent of ER program performance. They aim to secure the cash flow required to keep the ER program up and running, that is the costs related to PMU operation as well as those of the Provincial Government. It should be noted that to ensure the proper functioning of the ER program, the PMU will also rely on REDD+ institutions such as CNREDD and FONAREDD (for example, to produce the ERPA monitoring report or to support the registering of nested projects).

Project Management Unit

53. Fixed PMU costs amount to USD 2.5 million of operational costs for the duration of ERPA with which to implement the following activities in collaboration with REDD+ institutions in DRC:

- Distribution of ERPA benefits to the Provincial government, LCIPs, rural areas, and nested community projects, as agreed in the final BSP
- Implementation of activities financed by ERPA payments in rural areas with Local Implementing Agencies (LIA) following the PIREDD model
- Support for the operation of the Program’s Measurement, Reporting, and Verification (MRV) framework in collaboration with DIAF
- Monitoring and evaluation of the ER program in collaboration with FONAREDD
- Monitoring of the implementation of ER program safeguards frameworks and instruments, including for nested projects, and reporting at national level (SIS) in collaboration with CN-REDD
- Operation of the ER program Grievance Redress Mechanism (GRM) in line with the REDD+ Feedback and Grievance Redress Mechanism (FGRM) at the national level
- Preparation of the ER program Monitoring Report (every two years) in collaboration with all REDD+ institutions and Mai-Ndombe Province
- Strengthening the capacities of national NGOs, the Provincial Government, and communities on the implementation of activities likely to influence Program performance
- Support for the development and operation of nested projects (e.g. definition of baseline, etc.);
- Support for project owners, particularly communities, in the preparation of REDD+ projects nested in the ER program
- Support for REDD+ institutions and the province for the monitoring and evaluation of projects nested within the ER program
- Support to government or nested REDD+ projects for the monetization of credits not sold to the FCPF Carbon Fund (subject to their interest in this support)
- Promotion of the Program nationally and internationally, particularly to attract new investors
- Any other role or task to support central and provincial government management of the ER Program

54. To this end, and as agreed in the Terms of Reference (ToR) subject to a No-Objection Letter the FCPF Secretariat (fourth condition for the entry into force of ERPA), the PMU must have one team leader as well as the following experts:

- ER program manager
- Safeguards and monitoring, evaluation, and review expert
- Procurement expert (responsible for contracts, public procurement, and mediation)
- Financial expert

- Carbon and MRV expert
- Communication expert

55. The table below provides an indicative budget for PMU operational costs up to ERPA closure (December 2025).

Table 3 – Indicative PMU budget up to December 2025

Activities/Expenditure item	Budget (USD)
Wage and salary costs	400,000
Operational costs (premises, equipment, transport, etc.)	200,000
Implementation of activities (workshops, ToR, development, and approval of AWPBs	200,000
Monitoring and evaluation of activities (missions, development of monitoring report, etc.)	500,000
Safeguards supervision (including GRM)	350,000
Financial management and procurement	250,000
Capacity building activities (LIAs, NGOs, province, community projects, etc.)	300,000
Communication and promotion of ER program	300,000
TOTAL	2,500,000

56. The ER program PMU is the DRC Forest Investment Program Coordination Unit (CU-FIP). CU-FIP was created by Ministerial Order No. 008/CAB/MIN/ECN-DD/01/00/RBM/2015 of November 19, 2015. CU-FIP is a dedicated structure within the MEDD General Secretariat.

57. CU-FIP is currently implementing two major priority projects as part of REDD+ investments:

- Improved Forested Landscape Management Project (IFLMP) (USD 61.03 million) implemented since 2015. This Project consolidates various World Bank programs: The Forest Investment Program (FIP) (USD 36.6 million), the Mai-Ndombe Integrated REDD+ Project (PIREDD/Mai-Ndombe) financed by a CAFI grant of USD 18.22 million, and the Global Environment Fund (GEF) (USD 6.21 million).
- Integrated REDD Project in Mbuji-Mayi-Kananga-Kisangani Basins (PIREDD/MBKIS) (USD 21.5 million).

58. Further World Bank financing is being developed and will be implemented by CU-FIP during 2022-2023. This will ensure regular and ongoing oversight, including fiduciary oversight, of CU-FIP by the World Bank throughout ERPA duration. This financing includes, in particular:

- The second CAFI installment (USD 10 million) of the Improved Forested Landscape Management Project (IFLMP) aiming to implement PIREDD/Mai-Ndombe (until 2024). It should be noted that this will ensure consistency in planning as well as synergies in the implementation of activities financed by ERPA payments for rural areas.
- Project to support the operationalization of the Emissions Reduction Purchase Agreement (OPERPA) (USD 5 million), which will finance a series of enabling activities in support of REDD+ technical, regulatory, and institutional frameworks to enable ERPA and the ER Program to operate effectively, particularly in the distribution of benefits. Here too, CU-FIP will ensure the necessary consistency in the planning and implementation of the activities financed by the ERPA and OPERPA projects.
- The Forest and Savanna Restoration Investment Program (FORSTRIP) (USD 300 million), whose preparation was initiated by the Government (MEDD) and the World Bank under the new World Bank-DRC Partnership Framework 2022-2026.²¹ To ensure the effective implementation of the ER program, a series of enabling activities will be supported by an additional project—OPERPA—totaling USD 5 million.

59. Program management by CU-FIP will provide the ER program with:

- Strong sectoral expertise on relevant topics, in particular: i) reducing emissions from deforestation and forest degradation; ii) forest management; iii) poverty reduction; iv) facilitation of private sector activities to reduce emissions related to wood energy (agroforestry plantation, improved household heating); v) promotion of small-scale forestry systems; and vi) support for sustainable agriculture and tenure security
- An existing project infrastructure with solid credentials and skills in financial management and auditing as well as environmental and social safeguards and benefiting from regular and continuous World Bank supervision (see other programs above)
- Synergies with other financing earmarked for the Mai-Ndombe ER program, including the PIREDD/Mai-Ndombe and OPERPA projects, enabling efficient use of funds earmarked for operations, rapid implementation of activities financed by ERPA, and program consistency across all activities financed in Mai-Ndombe.

60. The PMU's (CU-FIP) annual budgets will be defined in the ERP Annual Work and Budget Program (AWBP) approved by the FONAREDD COPIL. The disbursement from the DRC's MPTFO account to the CU-FIP will be carried out as an advance to be restored based on expenditure documentation. This model is currently used for CU-FIP-managed projects financed by the World Bank (IFLMP/Mai-Ndombe PIREDD). The ER Project Procedures Manual will outline in detail the pertinent operational procedures.

Provincial Government

61. These payments are intended to support the Provincial Government in its involvement in program management. The Provincial Government will be assisted by the PMU in the day-to-day management of the ER program to ensure continuous capacity building and accountability.

62. Activities to be financed will cover, in particular:

- Capacity building among provincial administrations involved
- Functioning of provincial, regional, and sectoral operations related to the ER program

²¹ Document available at: <https://documents1.worldbank.org/curated/en/214221646062568502/pdf/Congo-Democratic-Republic-of-Country-Partnership-Framework-for-the-Period-FY22-26.pdf>

- Monitoring missions by authorities in the field;
- Reimbursements for provincial REDD focal person (who will have to be rehabilitated in order to support the Provincial Government)

63. Payments will fund awareness-raising and training actions for the provincial administration—and potentially other decentralized bodies—so as to foster proper ownership of the REDD+ process and its objectives but also to establish real operational capacities for effective and sustainable management of the ER program, for example with respect to the following aspects:

- Homologation of REDD+ investments, in particular the development and instruction of nested REDD+ projects
- The socio-environmental standards in REDD+ and safeguards instruments
- MRV and sharing of ER program benefits at the level of nested REDD+ projects and the jurisdictional space (excluding nested REDD+ projects)
- The feedback and grievance redress mechanism (FGRM)
- Others to be determined as necessary

64. 62. The Provincial Government will receive USD 2 million over 5 years, in particular through various advance payments as defined in ERPA Terms of Reference (ToR) and independently of program performance. Their frequency will be bound by the payment schedule set out in the ERPA ToRs. Independently of the availability of funds at any given time, the PMU will also work with the Province to define a payment schedule for an annual activities program, in accordance with the terms of a Memorandum of Understanding. This implementation model for the Province is currently in place for the IFLMP/Mai-Ndombe PIREDD.

65. 63. The first ER payments will be transferred to the Provincial Government following submission of a work plan for the Provincial Government's ER Program activities, which will be reviewed and approved by the PMU. Ensuing ER payments will be transferred following submission of a technical and financial report on the implementation of activities funded by ER payments in the previous year. No benefits will be allocated to the Provincial Government without submission of these items.

Box 2 – ADDITIONAL SUPPORT FROM OPERPA PROJECT

Most REDD+ institutions and tools were established during the REDD+ readiness phase and are not specific to the Mai-Ndombe ER program; rather, they concern any REDD+ activity in DRC. To ensure the effective implementation of the ER program, a series of activities will be supported by the OPERPA project and therefore will not generate additional operational costs. Activities funded by the OPERPA project will contribute to the operationalization and continuous improvement of national REDD+ tools and their application, including at the provincial level. The components and activities of OPERPA project are as follows:

Component 1 – Technical framework: Operationalization of REDD+ tools and infrastructure for the Mai-Ndombe ER program

- *Activity 1.1. Strengthening the MRV framework of the Mai-Ndombe ER program*
- *Activity 1.2. Operationalization of the REDD+ National Register and creation of its transactional module*
- *Activity 1.3. Support for the development of a methodological framework to nest REDD+ sub-projects in the Mai-Ndombe ER program*
- *Activity 1.4. Strengthening the monitoring and evaluation mechanism of the Mai-Ndombe ER Program BSP*
- *Activity 1.5. Support the implementation of environmental and social safeguards and Grievance Redress Mechanism for the Mai-Ndombe ER Program*
- *Activity 1.6. Ensure stakeholder involvement in the development of Mai-Ndombe ER program monitoring reports*

Component 2 – Legal and regulatory framework: Strengthening the legal and governance foundations of the Mai-Ndombe ER program

- *Activity 2.1. Support for developments in the homologation decree*
- *Activity 2.2. Transparency and integrity of national REDD+ infrastructure*
- *Activity 2.3. Capacity building on political and regulatory developments in carbon finance*

Component 3 – Institutional framework: Capacity building for Mai-Ndombe ER program institutions and stakeholders

- *Activity 3.1. Support at national level*
- *Activity 3.2. Support at provincial level*
- *Activity 3.3. Stakeholder engagement for Mai-Ndombe ER program accountability*

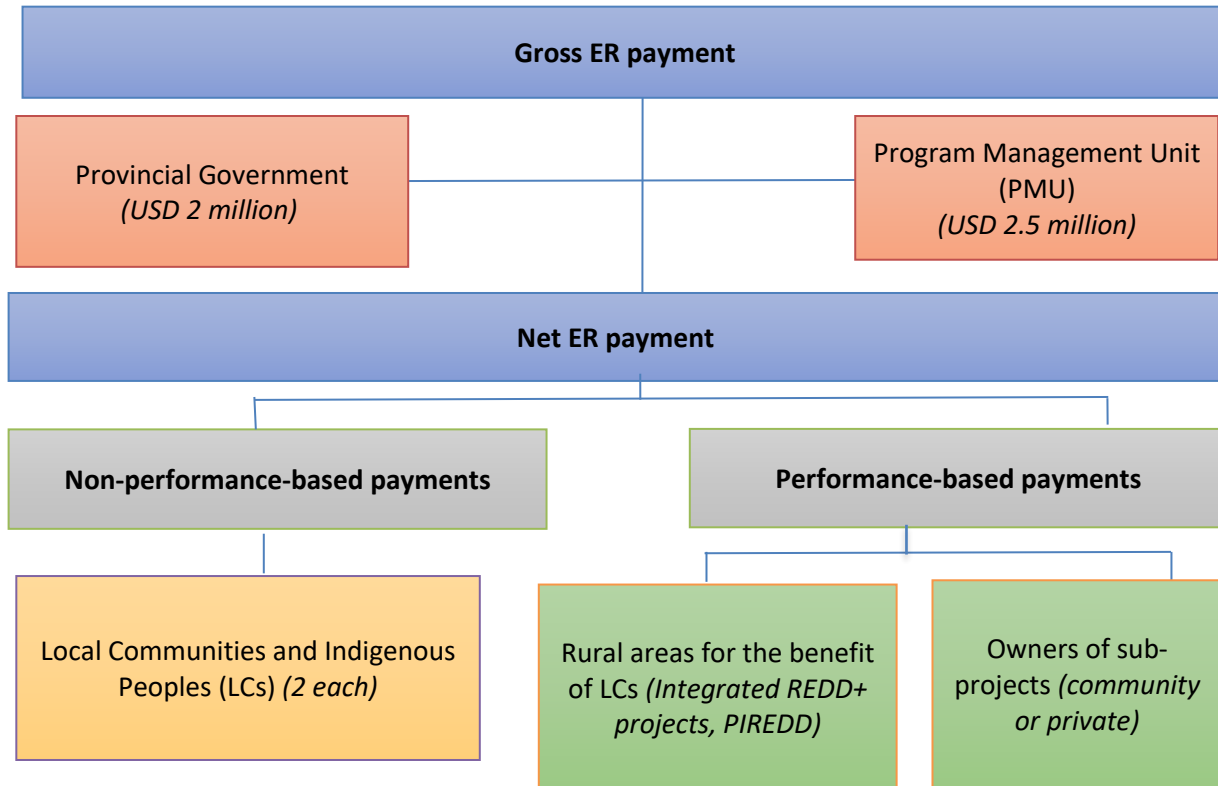
Component 4 – Project management

- *An international expert in carbon markets will join the CU-FIP team for the OPERPA and, more broadly, the ER Program.*

4.3 Carbon Benefits Distribution Key

66. Net ER payments will be shared among identified beneficiaries as illustrated by the diagram below:

Figure 4 – Distribution of ER payments for Mai-Ndombe ER program



4.4 Types of Payments to Beneficiaries

67. The BSP sets out two payment categories:

- Non-performance-based payments to Local Communities and Indigenous Peoples (LCIPs) to recognize their historical role and ensure their continued involvement in ER program activities.
- Performance-based payments for participating in activities that have generated emissions reduction relative to the Program baseline or the sub-baseline of a nested project.

68. Non-performance-based payments will be paid in priority independently of the performance of the ER program. Performance-based payments will then be shared among the various beneficiaries.

4.5 Payment Terms for Local Communities and Indigenous Peoples

4.5.1 Non-Performance-Based Payments

Local Communities and Indigenous Peoples

69. As part of the BSP, the LCIPs mainly benefit from activities and investments that aim to improve their material living conditions and involvement in the ER Program. These activities and investments build on PIREDD (e.g. agroforestry, payments for ecosystem services, etc.). LCIPs do not receive securities (i.e., emissions reductions recorded in a register). Minimum financing is also guaranteed to LCIPs even in the event of non-performance at the program level. The minimum

amounts (in the event of non-performance) will be USD 106,000 for IPs and USD 106,000 for LCs, i.e., 2 percent of USD 5.3 million each, which corresponds to the sum of the initial and “scheduled advance payments” from ERPA. These payments may be up to USD 150,000 each in the event that additional intermediate advance payments (USD 2.2 million) are triggered. In the event of performance, amounts may reach USD 1.1 million each, or 2 percent of USD 55 million each. These amounts will be paid over the full duration of ERPA (5 years). Their frequency remains to be determined but will be bound by the payment schedule as set out in the ERPA ToRs (in particular according to monitoring periods).

Table 4 – ERPA payments to LCIPs in recognition of efforts and ongoing involvement in ER program

Beneficiaries	Payments
Indigenous Peoples	<ul style="list-style-type: none"> • 2 percent of nominal ERPA value²² • At least 2 percent of USD 7.5 million, i.e., USD 150,000
Local Communities	<ul style="list-style-type: none"> • 2 percent of nominal ERPA value • At least 2 percent of USD 7.5 million, i.e., USD 150,000
Total	Between USD 0.3 (ERP non-performance) and 2.2 million (ERP maximum performance)

70. For each monitoring period the activities to implement will be defined in the following stages:

1. Preparation of the respective activity plans for the local communities and indigenous peoples based on available funds to schedule. The activity plans will be developed collaboratively with support from the relevant national platforms, i.e. REPALF, GTCRR and GTCR. The overall objective of the activities proposed in the plans will be capacity-building for Mai-Ndombe LCIPs for their participation in the ER Program, in connection to their Natural Resource Management Plans (NRMPs) at village level.²³ The activity plans will also define the geographical focus of their implementation based on the needs identified by the LCIPs and to ensure coherent coverage of support throughout the Province. Particular attention shall be paid to women, youth and vulnerable groups, in particular indigenous peoples with activities allowing them to benefit from the ER Program on a fair and equitable basis (also see Section 8 for the monitoring and evaluation of social inclusion activities). The PMU will facilitate the activity plan preparation process. Overall coherence with all of the implemented ER Program activities (in particular via performance-based payments) will be ensured by the PMU annual programming and approved by the ERP Provincial Steering Committee and the FONAREDD COPIL at national level.
2. Based on the activity plan and depending on available funds (i.e., ER Program performance), the PMU will prepare Terms of Reference (ToR) for activity implementation. The ToR will detail the required level of expertise and experience for bidding NGOs.

²² In the case of a 100% performance scenario and an ERPA value of \$55 million (11 million tCO₂ * \$5/tCO₂), the 2% incentive amount would be \$1.1 million over 5 years.

²³ For the IFLMP implemented in Mai-Ndombe since 2015 (Plateau and Mai-Ndombe PIREDDs), approximately 800 Local Development Committees (LDC) were created/brought into operation and most of them developed Natural Resource Management Plans (NRMP) on which the implementation of investment activities was based. These plans can provide impetus for implementing community investments financed by ERPA payments.

3. The NGOs will submit their technical and financial offers in response to the ToR published by the PMU. The PMU will convene a selection commission to evaluate the offers and select the NGOs based on criteria set out in the ToR and the proposed expertise and experience. The procurement procedure will be coherent with World Bank rules and procedures and shall follow the model currently used for the IFLMP implemented by the CU-FIP (Mai-Ndombe PIREDD). Local NGOs will thus be selected through a selective process. The details of the NGO eligibility criteria, types of activities to be implemented, provisions to ensure women and vulnerable groups can access benefits as well as other modalities will be detailed in the Project Implementation Manual.
4. The PMU will monitor the activities (deliverable vs. payment) and the performance will be reported to the FONAREDD COFIL as part of the regular reporting process detailed in the ER Program Procedures Manual.

71. LCIPs will be asked regularly to define priority activities. However, activities will depend on ER Program performance scenarios:

- Low performance or non-performance of ER Program: Funds will be allocated primarily to capacity building activities on the basis of ToRs developed by the PMU
- Performance of ER Program: Funds will then be greater and, depending on the amounts available, may be allocated to the following activities (identified during consultations with LCIPs):
 - Support for basic infrastructure (schools, health centers, agricultural feeder roads)
 - Creation of forest grants for LCIP households
 - Community Income-Generating Activities (IGA).

4.5.2 Performance-Related Payments

72. Two types of REDD+ investments are eligible for performance-related payments:

- i. Private or community-driven nested REDD+ projects registered with the MEDD according to the provisions of the Homologation Decree (national approval).
- ii. Rural areas (not including nested projects) covered by Integrated REDD+ Programs (PIREDD) as defined in the REDD+ National Investment Plan.²⁴ These funds are intended to support on-the-ground interventions and will integrate climate change adaptation and resilience objectives. The PIREDD are implemented in a performance-based logic aiming at payments based on results in terms of emission reduction. Natural Resource Management Plans (NRMPs) developed at the village level will provide an essential basis for funding green development activities that directly benefit local communities and indigenous peoples. A deforestation risk map will help define priority geographic areas within the province.

Private or Community Nested Project Owners

73. Performance-based payments for private project owners are determined by the following criteria:
- Payments to sub-projects will be based on agreed reference levels for the sub-project area. Performance of private and community projects is established by an independent certified auditor in accordance with applicable standards, i.e., those under which the project is initially approved

²⁴ https://redd.unfccc.int/uploads/3262_4_redd_investment_plan_eng.pdf#page=35

- Payments will be made directly to private sub-project owners from the MPTFO account. Private sub-project owners who receive payments for the area of responsibility of their sub-project will share the benefits in accordance with the nested project BSP.
- Payments will be made on the basis of verification reports on nested projects. In the event of ineligibility, funds related to the project in question will be allocated to the jurisdiction for redistribution (rural areas).
- Solely for the World Bank ERPA, payments to private nested project owners will be capped at 17.5 percent of the nominal ERPA value for each project in order to ensure a fair distribution of World Bank ERPA benefits, in particular to LCIPs throughout the ER Program area. This cap applies on a cumulative basis after each verification throughout the duration of ERPA (2019-2024). When appropriate, the Program Entity (government) may compensate in kind private project owners whose contribution to ER Project performance exceeds the 17.5% cap by giving them ERs not purchased by the World Bank ERPA.²⁵ Private owners thus compensated are entitled to sell these carbon credits through a market mechanism if they wish.

74. Currently, the WWC conservation concession is the only project nested within the ER program. Its negotiated baseline is 3.8 MtCO₂e per annum. As new nested projects are developed and homologated, additional sub-reference levels will be established with the support of the PMU and relevant REDD+ structures. The following principles govern the prioritization of payments to nested REDD+ projects in the event of ER program performance:

- Precedence in the program
- Quantity of reduced emissions
- Number of contracts with LCIPs

75. In the event of non-performance or reduced performance of the ER program, priority payments would be made to nested community projects followed by private projects.

76. The following hypothetical scenarios may be considered:

- During the first ER program monitoring period, three projects reduced GHG emissions by a total of 1,100,000 tCO₂e
- Total reduction is generated by Mitigation Measure 1, which reduces emissions by 200,000 tCO₂e, Mitigation Measure 2 (300,000 tCO₂e), and Mitigation Measure 3 (600,000 tCO₂e)
- The FCPF ERPA specifies a maximum purchase volume for the first monitoring period of 1,000,000 ERs.

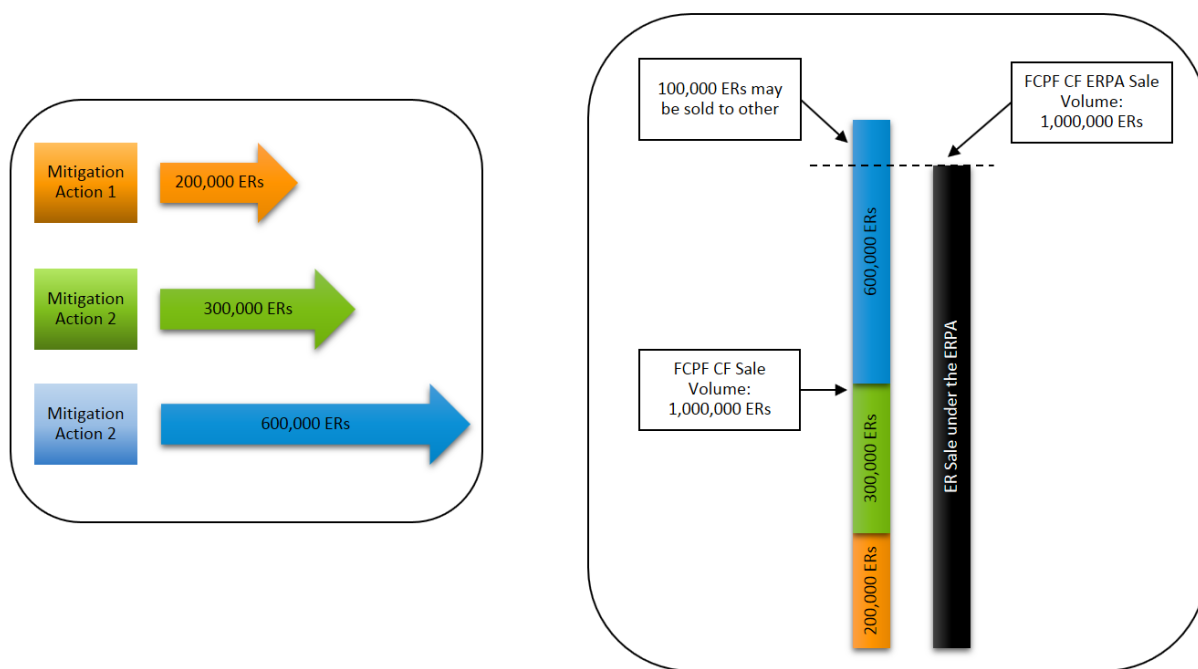
77. In this configuration, the sale is made following the steps below:

- In an initial sale cycle, the three mitigation measures may sell 200,000 ERs, for a total of 600,000 ERs.
- Measures 2 and 3 generated more ERs and there is room under the ERPA cap, Measures 2 and 3 may sell an additional 100,000 ERs each. The total cumulative sale to FCPF would amount to 800,000 ERs.

78. Projects 1 and 2 sold all their generated ERs. Project 3 sold 300,000 of its 600,000 ERs, while the total sale volume was 800,000 ERs. Measure 3 will sell an additional 200,000 ERs to FCPF, representing a total sale of 1,000,000 ERs. The total sale volume of Measure 3 amounts to 500,000 ERs. The remaining 100,000 may be sold under another carbon market mechanism or possibly as part of a future sale to FCPF during the following monitoring period.

²⁵ ERPA purchases only 70 percent of the credits generated, to a total of 11 million tons generated over the 2019-2024 period.

Figure 5 – Scenarios for the distribution of benefits among different private projects



Rural Areas where beneficiaries are Local Communities and Indigenous Peoples

79. The long-term objective of the program is to encourage the development of duly homologated nested REDD+ projects that can contribute effectively and directly to the jurisdictional effort and improve the livelihoods of local communities and indigenous peoples. However, it is highly likely, particularly in the early years of the ER program, that nested projects will not be sufficient in number or performance to absorb all performance-related payments even if activities in rural areas are already performing. It should be noted that ER-generating activities are currently driven mainly by international community projects or programs (in particular the IFLMP financed by FIP, CAFI, and GEF grants). These PIREDD projects were not registered as nested REDD+ projects because they do not aim to claim ERs for results generated.

80. Remaining payments after allocation to nested projects based on performance, and taking into account the 17.5 percent cap applicable to private nested projects, go to LCIPs established in the jurisdictional space, excluding nested REDD+ projects, which are designated as Rural Areas. However, to remain consistent with the Program's goal of reducing emissions, these payments will be made, where possible, to LCIPs based on performance indicators for ER generating activities. The Plateau and Mai-Ndombe PIREDDs have already used contracts for Payment for Environmental Services (PES) to LCIPs.²⁶ PES are established on the basis of performance indicators (or "proxies") relating to ER-generating activities to the extent possible, such as agroforestry areas planted by communities or zones set aside to enable the natural regeneration of degraded savannas.

81. Payments to zones will target geographies for the establishment of new PIREDD project activities as defined in the National REDD+ Investment Plan.²⁷ Maps of deforestation risk and local

²⁶https://forestcarbonpartnership.org/system/files/documents/BSP%20ER%20program%20Mai%20Ndombe_15%20June%202018_CLEAN.pdf#page=22

²⁷ https://redd.unfccc.int/uploads/3262_4_redd_investment_plan_eng.pdf#page=35

performance levels in the jurisdiction may be supplemented to identify priority areas for implementing activities because they present the highest risk of deforestation. Current and future threats to forests in these zones are determined by (among other factors) the following criteria: (i) distance from the forest boundary, roads, population centers, navigable rivers, national borders, domestic and international markets, etc.; (ii) the Government’s local law enforcement capacity.

82. On the model of the Plateau and Mai-Ndombe PIREDDs, activities in rural areas will strive to ensure the equal representation of women, youth and marginalized groups – in particular indigenous peoples – in their beneficiaries. Particular attention will systematically be paid to their inclusion from the design phase and during activity programming (i.e., through support from specialized NGO platforms). For activity implementation, as is the case for the Mai-Ndombe PIREDD, the relevant performance indicators will be disaggregated by vulnerable groups.
83. When possible, Payments for Environmental Services (PES) will be made using proxies (e.g., per hectare planted, per hectare of savanna/forest set aside, etc.) for new PIREDD-type activities in order to encourage beneficiaries to continue their activities. Communities (individuals and LDC) will receive investment support (e.g., seeds) or a cash payment for environmental services such as the tree planting, firebreak maintenance, setting aside of savannah (recovery) or forest land (conservation). Depending on the activity, the payment will be based on a daily rate (work) or a production payment (e.g., X USD per hectare of forest set aside). Payments by proxy will be defined in relation to the activities implemented according to the Procedures Manual. This model has been applied within the ER Program since 2015 as part of the Plateau and Mai-Ndombe PIREDDs.

Table 5 – Summary of ER Project Payment Recipients

Beneficiaries	Payment Type	Indirect Beneficiaries	Carbon Benefits
Management Unit	Operational costs	N/A	Annual payment to ensure ER program implementation and program management with relevant REDD+ structures
Provincial Government	Operational costs	N/A	Payment to support the implementation of ER program activities, according to an activities program coherent with the modalities defined in a memorandum of understanding with the PMU
Local Communities and Indigenous Peoples	Non-performance-based payments	N/A	Non-monetary benefits through technical support from one or more local NGOs for capacity building and/or implementation of activities contributing to sustainable forest management
	Performance-based payments	N/A	LCIPs are direct beneficiaries of enabling and investment activities in rural areas based on the PIREDD model. Activities are implemented by Local Implementing Agencies (LIA) on

			the basis of an AWPB approved by the provincial and national COPIL. They also include monetary benefits paid to LCIPs through Payments for Environmental Services (PES) contracts.
Nested projects (private sector, community-driven projects)	Performance-based payments	Local Communities and Indigenous Peoples	Monetary benefits based on performance of nested projects. The owner transfers a share of payments to LCIPs as per the project-specific benefit sharing plan

4.6 Allocation According to Different Performance Scenarios

84. The ER program baseline was revised in 2021 as per the following estimates.

Table 6 – Estimated annual emissions for the ER program (Source: revised baseline, 2021)

Emissions / Removals (tCO ₂ /year)							
	Year	2019	2020	2021	2022	2023	2024
Emissions	Primary deforestation	10,644,095	10,644,095	10,644,095	10,644,095	10,644,095	10,644,095
	Secondary deforestation	13,394,055	13,394,055	13,394,055	13,394,055	13,394,055	13,394,055
	Degradation	4,879,243	4,879,243	4,879,243	4,879,243	4,879,243	4,879,243
	Adjustment of deforestation emissions	5,788,886	5,788,886	5,788,886	5,788,886	5,788,886	5,788,886
	Emissions baseline	34,706,279	34,706,279	34,706,279	34,706,279	34,706,279	34,706,279
Removals	Primary growth	n/a	n/a	n/a	n/a	n/a	n/a
	Secondary forest gain	-420,133	-1,260,400	-2,520,800	-4,201,333	-6,301,999	-8,822,799
	Baseline	-420,133	-1,260,400	-2,520,800	-4,201,333	-6,301,999	-8,822,799
Emissions baseline	34,286,146	33,445,879	32,185,479	30,504,946	28,404,280	25,883,480	

Table 7 – ER Program Baseline (Source: Revised Baseline, 2021)

Source: DRC ER Calculation	UNFCCC FREL	FCPF FREL			Program emissions and removals					National ERs	FCPF ERs					Uncerta Inty buffer (%)	Non- permane nce buffer	Net Emissio n Reductio n (tCO ₂ /ye ar)	Amount offered to CF	Remaini ng ER amount in registry
	Deforesta tion	Deforesta tion	Degrada tion	Reinforcem ents	Emission reductio n performa nce	Deforesta tion	Degrada tion	Reforesta tion performa nce	Reinforcem ents	Deforesta tion	Deforesta tion	Degrada tion	Reinforcem ents	Total	8%	20%				
2019	39,206,012	29,827,036	4,879,243	-420,133	6%	27,907,402	4,565,220	10%	-463,324	11,298,610	1,919,634	314,022	-43,191	2,276,848	182,148	349,117	1,745,583	646,306	1,099,277	
2020	40,398,903	29,827,036	4,879,243	-1,260,400	10%	26,843,737	4,391,221	7%	-1,346,659	13,555,166	2,983,299	488,022	-86,259	3,557,580	284,606	545,496	2,727,478	1,009,855	1,717,623	
2021	41,591,795	29,827,036	4,879,243	-2,520,800	15%	25,473,332	4,167,044	8%	-2,711,133	16,118,463	4,353,704	712,199	-190,333	5,256,236	420,499	805,956	4,029,781	1,492,035	2,537,746	
2022	42,784,687	29,827,036	4,879,243	-4,201,333	21%	23,681,810	3,873,978	9%	-4,588,898	19,102,877	6,145,227	1,005,264	-387,565	7,538,056	603,044	1,155,835	5,779,176	2,139,753	3,639,424	
2023	43,977,578	29,827,036	4,879,243	-6,301,999	27%	21,731,317	3,554,908	10%	-6,943,334	22,246,261	8,095,719	1,324,335	-641,335	10,061,389	804,911	1,542,746	7,713,732	2,856,026	4,857,706	
2024	45,170,470	29,827,036	4,879,243	-8,822,799	27%	21,731,317	3,554,908	7%	-9,464,134	23,439,153	8,095,719	1,324,335	-641,335	10,061,389	804,911	1,542,746	7,713,732	2,856,026	4,857,706	
Total	253,129,445	178,962,218	29,275,455	-23,527,465	1	147,368,916	24,107,279	1	-25,517,483	105,760,529	31,593,302	5,168,176	-1,990,018	38,751,497	3,100,120	5,941,896	29,709,481	11,000,000	18,709,481	

85. The modeling below is a simulation conducted over five years based on several principles:

- ER Program performance meets or exceeds the maximum number of ERs resulting from the Program that the FCPF is likely to purchase, i.e., 11 Mt
- Average unit purchase price of these ERs is USD 5/t.
- A minimum of USD 5.3 million will be provided in advance ERPA payments (independently of program performance) to cover fixed program costs, including ERP administration and commitment activities with local communities and indigenous peoples.

100% performance

Performance 100%					
Scenario 1A: Revenues capped (17.5% of ERPA value) for WWC because of its high relative performance					
Beneficiaries	ERs generated Million tCO2	Payments \$ Million	Delivery - Min. amount per reporting period (on a cumulative basis)		
			2019 - 2020	2021 - 2022	2023 - 2024
WWC conservation concession	10,00	9,63			
Rural areas REL-Σsub-RELS	19,71	38,68	1,66	5,29	11,0
IPs & rural communities(4% of ERPA value)		2,20			
Sub-Total	29,71	50,50			
Program Opex		4,50			
Total	29,71	55,00			
ERs acquired by the Carbon Fund	11,00				

Scenario 1A			
Origin of ERs acquired by CF (million tCO2 eq.)		CERs transferred to beneficiaries	Unit Price paid to beneficiaries (\$)
WWC conservation concession	2,19	7,8	4,39
Rural areas REL-Σsub-RELS	8,81	10,9	4,39

Scenario 1B: High performance outside the WWC conservation concession

Beneficiaries	ERs generated Million tCO2	Payments \$ Million	Delivery - Min. amount per reporting period (on a cumulative basis)		
			2019 - 2020	2021 - 2022	2023 - 2024
WWC conservation concession	5,00	8,13			
Rural areas REL-Σsub-RELS	24,71	40,17	1,66	5,29	11,0
IPs & rural communities(4% of ERPA value)		2,20			
Sub-Total	29,71	50,50			
Program Opex		4,50			
Total	29,71	55,00			
<i>ERs acquired by the Carbon Fund</i>	11,00				

Scenario 1B

Origin of ERs acquired by CF (million tCO2 eq.)		CERs transferred to beneficiaries	Unit Price paid to beneficiaries (\$)
WWC conservation concession	1,85	3,148	4,39
Rural areas REL-Σsub-RELS	9,15	15,56	4,39

50% performance

Scenario 2A: Revenues capped (17.5% of ERPA value) for WWC because of its high relative performance

Beneficiaries	ERs generated Million tCO2	Payments \$ Million	Delivery - Min. amount per reporting period (on a cumulative basis)		
			2019 - 2020	2021 - 2022	2023 - 2024
WWC conservation concession	10,00	9,10			
Rural areas REL-Σsub-RELS	4,85	36,30	1,57	5,00	10,4
IPs & rural communities(4% of ERPA value)		2,08			

Sub-Total	14,85	47,48			
Program Opex		4,50			
Total	14,85	51,98			
ERs acquired by the Carbon Fund	10,40				

Scenario 2A

Origin of ERs acquired by CF (million tCO2 eq.)		CERs transferred to beneficiaries	Unit Price paid to beneficiaries (\$)
WWC conservation concession	2,08	4,455	4,37
Rural areas REL-Σsub-RELS	0,00	0	N/A

Scenario 2B: High performance outside the WWC conservation concession

Beneficiaries	ERs generated Million tCO2	Payments \$ Million	Delivery - Min. amount per reporting period (on a cumulative basis)		
			2019 - 2020	2021 - 2022	2023 - 2024
WWC conservation concession	4,85	9,10			
Rural areas REL-Σsub-RELS	10,00	36,30	1,57	5,00	10,4
IPs & rural communities(4% of ERPA value)		2,08			
Sub-Total	14,85	47,48			
Program Opex		4,50			
Total	14,85	51,98			
ERs acquired by the Carbon Fund	10,40				

Scenario 2B

Origin of ERs acquired by CF (million tCO2 eq.)		CERs transferred to beneficiaries	Unit Price paid to beneficiaries (\$)
WWC conservation concession	2,08	2,76	4,37
Rural areas REL-Σsub-RELS	8,32	1,68	4,36

10% performance

Beneficiaries	ERs generated Million tCO2	Payments \$ Million	Delivery - Min. amount per reporting period (on a cumulative basis)		
			2019 - 2020	2021 - 2022	2023 - 2024
WWC conservation concession	4,00	1,82			
Rural areas REL-Σsub-RELS	-1,03	3,66	0,10	0,33	0,7
IPs & rural communities(4% of ERPA value)		0,42			
Sub-Total	2,97	5,90			
Program Opex		4,50			
Total	2,97	10,40	Transfer failure		
ERs acquired by the Carbon Fund	0,69				

Scenario 3A

Origin of ERs acquired by CF (million tCO2 eq.)		CERs transferred to beneficiaries	Unit Price paid to beneficiaries (\$)
WWC conservation concession	0,69	0,89	2,64
Rural areas REL-Σsub-RELS	0,00	0	n/a

Scenario 3B: High performance outside the WWC conservation concession

Beneficiaries	ERs generated Million tCO2	Payments \$ Million	Delivery - Min. amount per reporting period (on a cumulative basis)		
			2019 - 2020	2021 - 2022	2023 - 2024
WWC conservation concession	-1,03	0,00			
Rural areas REL-Σsub-RELS	4,00	5,48	0,31	1,00	2,1
IPs & rural communities(4% of ERPA value)		0,42			
Sub-Total	2,97	5,90			
Program Opex		4,50			
Total	2,97	10,40	Transfer failure		
<i>ERs acquired by the Carbon Fund</i>	2,08				

5. Institutional Arrangements

5.1 Governance and Funds Monitoring

86. Figure 6 shows the governance structure and fund monitoring method for the ERPA BSP, in particular the flow of funds from the World Bank (FCPF) to final beneficiaries. The legal basis for these flows to their various recipients is also shown.

Figure 6 – ERPA BSP Governance and Funds Monitoring

LEGEND

→ Flow of funds

BSP final beneficiaries

Legal basis

Methods of Governance

FCPF
World Bank

- FCPF/WB approves the monitoring report submitted by the Ministry of Finance (FONAREDD) for DRC (program entity) and issues letter of approval.
- Authorized representatives of MINEFI (including FONAREDD) request the disbursement of WB/ERPA payment from MPTFO via its website (adjoining the FCPF letter of approval). The monitoring report provides the amounts allocated to the PMU and all private operators (REDD+ sub-projects) in compliance with the BSP.

DRC (MINEFI)
FONAREDD account with MPTFO

MPTFO-DRC
legal
agreement

Project
homologation
certificates

- COPIL approves the Annual Work Plan and Budget (AWPB)
- The Ministry of Finance (MINEFI) via FONAREDD requests MPTFO to disburse ERPA payment to PMU in compliance with AWPB.

PMU (CU-FIP)
MEDD
(Dedicated Account)

CU-FIP – Provincial
Government MoU

CU-FIP – NGO
Contracts

Delegated implementation contract
between the CU-FIP and Local
Implementation Agencies

Project
homologation
certificates

- Program of activities defined annually (AWPB)
- CU-FIP provides related funding to the province to implement the terms of the agreement protocol

- ToR defined according to available financing
- Implementation by NGOs and CSOs as stipulated ToR

Local Implementation Agencies
(dedicated account)

- Provincial Steering Committee approves AWPB prepared by Local Implementation Agency (LIA)
- CU-FIP disburses funds to LIA to implement PIREDD activities

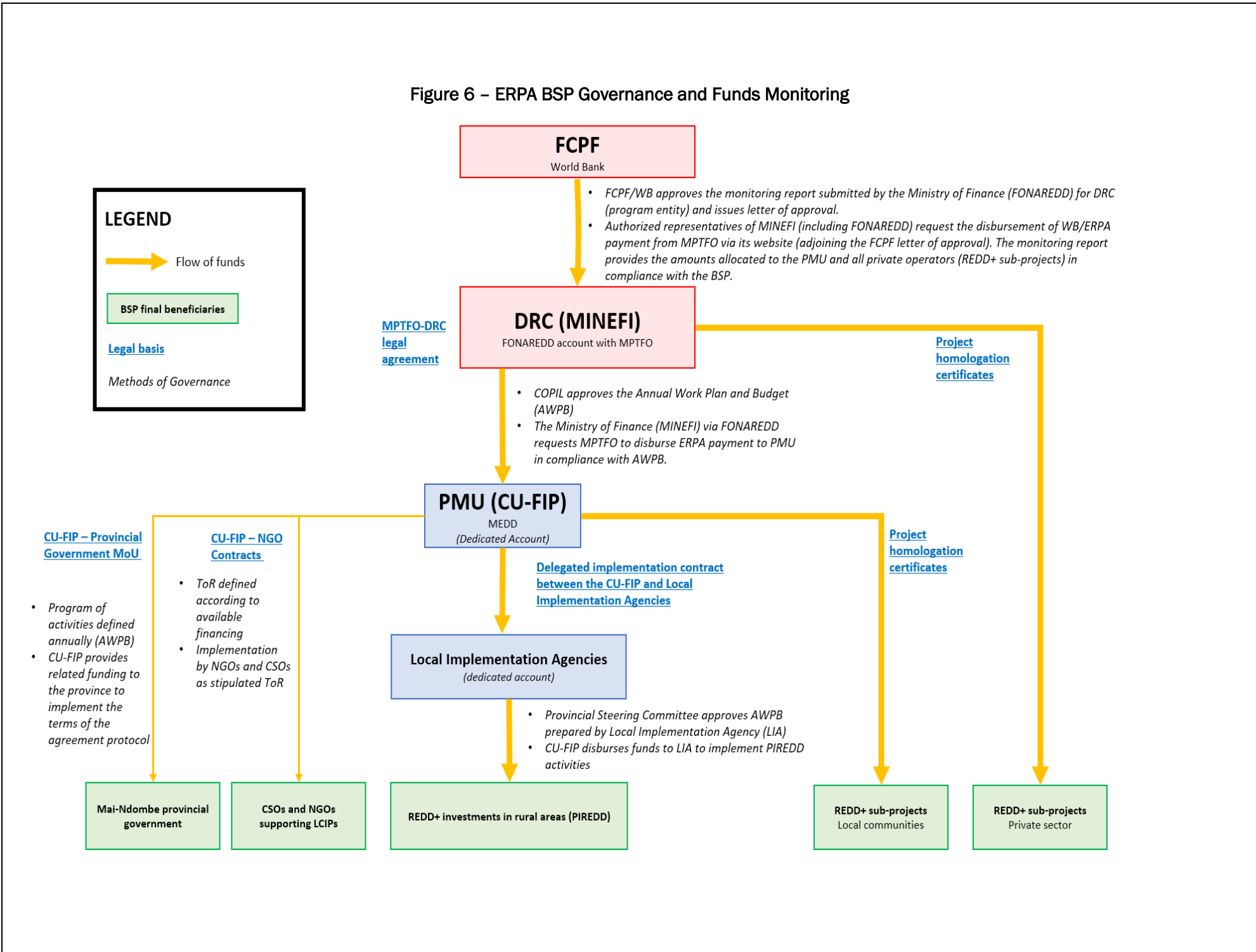
Mai-Ndombe provincial
government

CSOs and NGOs
supporting LCIPs

REDD+ investments in rural areas (PIREDD)

REDD+ sub-projects
Local communities

REDD+ sub-projects
Private sector



87. MPTFO

- A subsidiary agreement is signed between the UNDP acting through MPTFO and DRC acting through the Ministry of Finance and the Ministry of Environment. This account is specifically created for ERPA payments (as different from the account for CAFI funds).
- The MPTFO receives ERPA funds from the World Bank as requested by the Ministry of Finance. This request is uploaded to the Client Connection platform (represented by FONAREDD). This requires prior FCPF approval of the Monitoring Report. The letter of approval from the FCPF must be attached to the disbursement request submitted via Client Connection.
- The Monitoring Report defines the amount of ERPA payments and their distribution among the various beneficiaries.

88. FONAREDD

- FONAREDD instructs the MPTFO to disburse to: i) owner(s) of private projects whose payment amounts are defined in the Monitoring Report approved by the Bank; or ii) CU-FIP dedicated account, which as the PMU is then responsible for distributing these among the other beneficiaries according to the BSP. Disbursements to CU-FIP must match the Annual Work Plan and Budget (AWPB) approved by the Steering Committee (COPIL).

89. PMU

- Payments to the Provincial Government are regulated by a Memorandum of Understanding (MoU) defining activities eligible for financing as well as an annual work plan (AWPB).
- Payments for LCIPs (4%) are regulated by contracts with national NGOs. These contracts are signed based on terms of reference (ToR) defining activities, implementation methods, and required technical expertise.
- Payments to rural areas follow the same implementation methods as that of PIREDD. CU-FIP signs a delegated implementation contract with the Local Implementation Agencies (LIA) that carry out activities and investments in rural areas. CU-FIP is also responsible for monitoring LIA implementation activities and use of funds.
- CU-FIP distributes payments to community-driven sub-projects, as stipulated in the Monitoring Report.

90. Provincial Government

- As explained above, the Provincial Government signs a MoU with CU-FIP.
- The Provincial Government submits ToR to CU-FIP for implementing the activities in its AWPB. CU-FIP is responsible for monitoring activity implementation and use of funds.

5.2 Activity Monitoring and Reporting

91. Figure 7 shows the overall organization for activity monitoring and reporting by final beneficiaries to FCPF via a monitoring report. As the PMU, CU-FIP prepares a draft biennial monitoring report and submits it to FONAREDD for review before it is transferred to COPIL for approval. The draft report gives details of BSP implementation in a dedicated annex. CU-FIP is responsible for collecting the necessary data from the various beneficiaries and from MPTFO for private sub-projects. CU-FIP also coordinates with appropriate national institutions regarding MRV, safeguards implementation, and all aspects covered in the monitoring report as a prerequisite for claiming ERP benefits.

Figure 7 – ERP Activities and Results Reporting Mechanism

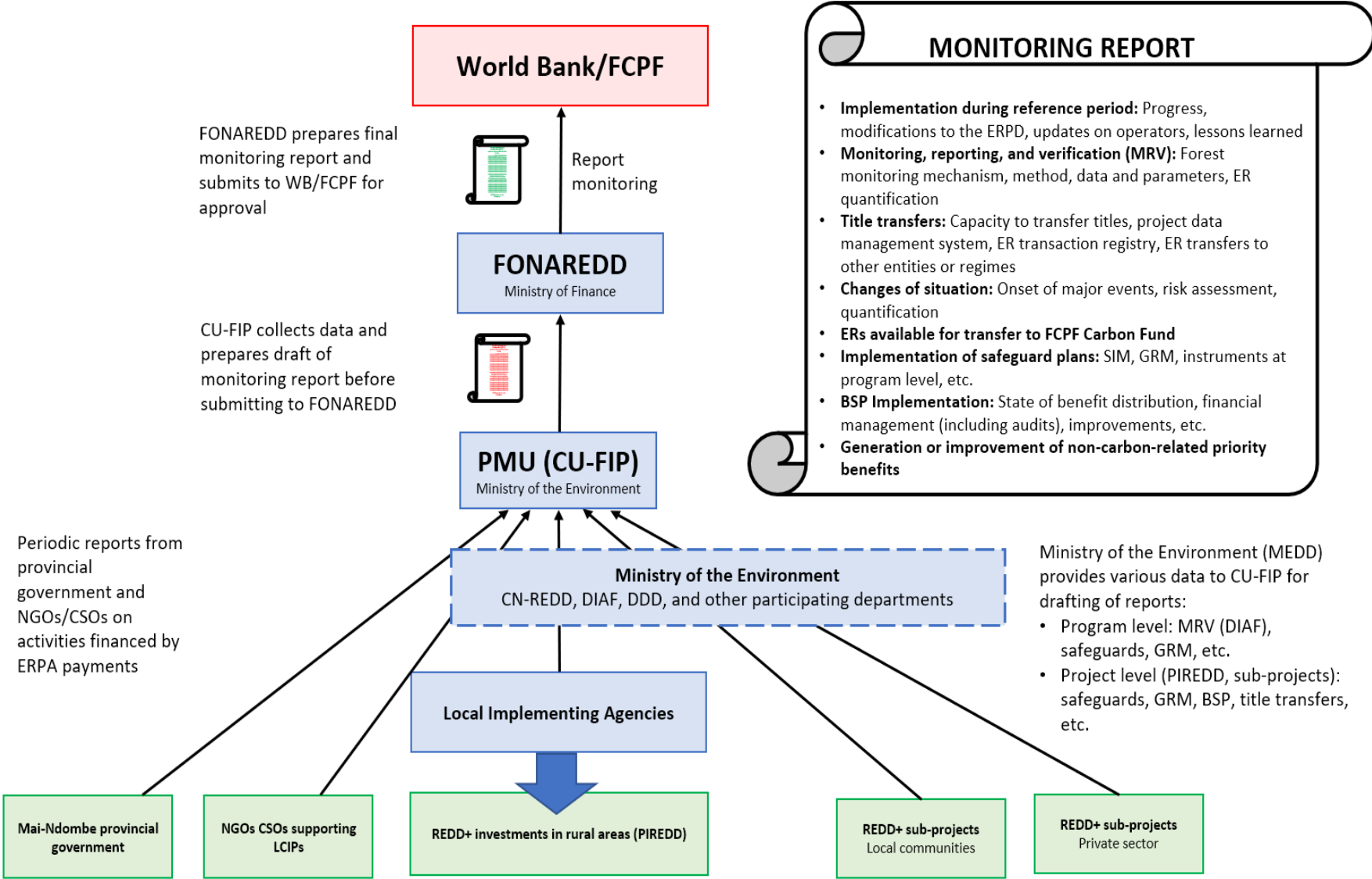


Table 8 – Entities and Responsibilities for ERP Operation and Governance

Entity	Responsibilities
FONAREDD COFIL presided by the Ministers of Finance and Environment and Sustainable Development	<ul style="list-style-type: none"> – Provides the ERP’s main strategic guidelines – Approves the ERP program, including the AWPB prepared by the PMU – ERP technical and financial reports – Approves the (biennial) ERP monitoring report to access ERPA payments – Also monitors OPERPA (ERPA technical assistance partner) to ensure activity coherence and harmony
Provincial COFIL	<ul style="list-style-type: none"> – Steering and political coordination at Provincial level – Approves the AWPB prepared by Local Implementation Agencies that implement enabling and investment activities – Steers ERP implementation in the field and works closely with the PMU
Provincial Government	<ul style="list-style-type: none"> – Provincial Government heads Provincial ERP COFIL – Provincial technical services participate in supervising ERP activities, including those of LCIPs, LIAs (PIREDD), and sub-projects – Participation in monitoring and assessing REDD+ activities in the field, in particular application of ERP safeguards frameworks and instruments, including REDD+ socio-environmental standards, GRM operation, etc.
FONAREDD Secretariat	<ul style="list-style-type: none"> – Facilitates COFIL – Carries out ERP monitoring and assessment – Ensures quality control of monitoring report – Processes disbursement requests from MPTFO to MINEFI
CN-REDD (MEDD)	<ul style="list-style-type: none"> – Keeps National REDD Registry Safeguards Information System (SIS) – Leads DRC REDD+ investment homologation process – Monitors compliance with REDD+ socio-environmental standards and safeguards as well as safeguard instruments – Coordinates with the DIAF which provides technical support for ERP MRV, at the jurisdictional level but also for REDD+ sub-projects – Consolidates information on safeguards – Contributes to successful GRM operation

CU-FIP / MEDD (Project Management Unit)	<ul style="list-style-type: none"> – Distribution of ERPA benefits to the Provincial Government, LCIPs, rural areas, and community-driven sub-projects as stipulated in final BSP – Implementation of activities financed by ERPA payments in rural areas by LIAs using the same model as that of PIREDD – Operating support for program’s measurement, reporting, and verification (MRV) in collaboration with DIAF – ERP monitoring and assessment in collaboration with FONAREDD – Monitoring of the implementation of ERP safeguard frameworks and instruments, including for sub-projects, and reporting at the national level through SIS in collaboration with CN-REDD – Operation of ERP Grievance Redress Mechanism (GRM) in compliance with national REDD+ GRM – Preparation of biennial ERP Monitoring Report in collaboration with all REDD+ institutions and Mai-Ndombe Province – Capacity-building for national NGOs, the Provincial Government, and communities for the implementation of activities likely to lead to program success – Development and operational support for sub-projects (for example: determining baselines, etc.) – Support for project owners, especially local communities, in preparing REDD+ sub-projects for the ERP – Support for REDD+ institutions and Province for monitoring and assessment of ERP sub-projects – Support for the government or REDD+ sub-projects for monetizing carbon credits not sold to the FCPF Carbon Fund (subject to their interest in this support) – National and international promotion of the program, especially with a view to attracting new investors – Any other potential role and task likely to support central and provincial governments in ERP management
Local Implementation Agencies (LIA)	<ul style="list-style-type: none"> – Implement PIREDD-type activities rural areas – Comprises safeguards experts to supervise activities in compliance with national standards and ERP instruments
DIAF (MEDD)	<ul style="list-style-type: none"> – Responsible for technical GRM-related work, especially legal work, for ERP and REDD+ sub-projects

6 Environmental and Social Safeguards

6.1 Safeguards Instruments

92. To assess the potential impact of REDD+ investments, DRC has conducted a Strategic Environmental and Social Assessment (SESA) of the national REDD+ strategy and has put in place the following six REDD+ safeguards instruments: ESMF, Indigenous Peoples Planning Framework, Resettlement Policy Framework (RPF), Pest and Pesticide Management Framework, Cultural

Heritage Management Framework (CHMF), and Process Framework (PF). All six safeguards instruments produced under the FCPF Readiness Project have been reviewed and cleared by the World Bank and found to meet its operational policy requirements. All documents are publicly available on the websites of the World Bank, FCPF, and the DRC Government. Furthermore, DRC has developed national social and environmental REDD+ standards consistent with the safeguards instruments. The Ministerial Homologation Decree for REDD+ projects and programs requires that all REDD+ projects and programs conform to both the national standards and the six safeguards instruments mentioned above.

93. Implementation of ER Program activities financed by ERPA payments benefits from operational safeguards instruments developed in the context of the IFLMP, whose activities and investments have been in progress in Mai-Ndombe Province since 2016 (via PIREDD projects). The IFLMP therefore has a Resettlement Policy Framework (RPF), a Process Framework (PF), an Indigenous Peoples Plan (IPP), an Environmental and Social Management Framework (ESMF), a Cultural Heritage Management Framework (CHMF), and an Integrated Pest Management Framework (IPMF). These instruments were updated as part of CAFI financing for the Mai-Ndombe PIREDD (2017) followed by a GEF grant (2019).²⁸ Each quarter, a monitoring report on environmental and social safeguards is submitted to the World Bank for review.
94. All activities undertaken in the context of the ER Program, whether financed by the World Bank or otherwise are part of the national REDD+ system described above and subject to the full set of safeguards requirements. In 2022, a Safeguards Information System (SIS) is being developed based on the Cancún Safeguards and World Bank safeguards and linked to the REDD+ Social and Environmental Standards with support from UNEP. The SIS website is available in an incomplete version at: <http://46.105.254.177/sis>. The SIS will be linked to the REDD+ Registry via a dedicated tab. A summary of safeguards has also been developed with UNEP support.

6.2 Safeguards Implementation Procedures

95. CU-FIP acting as PMU is responsible for monitoring safeguards implementation in the ER Program zone. A full-time safeguards expert will be dedicated to ER Program activities. Local Implementation Agencies (LIA), which will implement investments in rural areas (PIREDD), will also have safeguards experts responsible for safeguards implementation for their activities. All new ER Program stakeholders will be required to conduct specific studies and consultations and to develop safeguards plans, including—if necessary—mitigation measures. Nested projects will also be required to submit reports on safeguards implementation at project level. These reports will be reviewed and approved by PMU.
96. CU-FIP acting as PMU will report on safeguards implementation to the Government via the Registry and SIS managers as well as to the World Bank via the ER Monitoring Report, which specifically requires an Annex on safeguards implementation. Before ERPA payments are authorized, the Monitoring Report will be checked by an independent reviewer under contract with FCPF. The report will need to satisfy the Bank, which may require remedial action in cases of non-compliance.
97. Data on satisfactory safeguards implementation in ER program activities will be disclosed through the following channels: i) data accessible to the public on the National REDD+ Registry and SIS; and ii) Annex on safeguards implementation in the ER Monitoring Report.

6.3 Feedback Grievance Redress Mechanism (FGRM)

²⁸ PGAPF safeguards instruments are available at: http://www.pifrdc.org/outils_de_sauvegarde

98. The FGRM is a key tool in good governance and aims to allow grievances by stakeholders (beneficiaries, project agents, development committees, authorities, civil society, etc.) to be aired and—wherever possible—to prevent, neutralize, and resolve tensions and conflicts that may arise from Program implementation. The goal is to use this tool to maintain good relations between stakeholders and to deal with problems before they become insoluble, rectify misunderstandings that could lead to harmful rumors that may tarnish the image of programs, and avoid long and onerous procedures for filing a grievance.

99. The PGAPF has implemented an FGRM in Mai-Ndombe. This FGRM was developed in keeping with the national REDD+ process.²⁹ It is fully operational following a year-long implementation phase that started in July 2017. Grievances can be submitted to: i) plaintesrecours.pif@gmail.com; ii) CU-FIP; iii) LIAs; and iv) Local Development Committees (LDC) or Agricultural and Rural Management Committees at local level. The FGRM was updated in June 2021 in response to a review and feedback from the World Bank that aimed to enable it to cover the whole Mai-Ndombe ER Program zone.

100. In the context of ERPA activities, the FGRM will need to: i) **integrate** specific FGRMs in all projects nested in the ER Program; and ii) register and document grievances and response measures at national REDD+ FGRM level once the National REDD+ Registry is online. FGRM operationalization and implementation at national level will also be supported by the OPERPA project. CU-FIP will be responsible for the daily monitoring of ER Program implementation.

7 Monitoring and Evaluation Arrangements

101. The carbon accounting monitoring system used to generate reports on emissions and absorptions based on measured activity data for third parties (i.e., the Carbon Fund) for the duration of the program is provided by the PMU. The ER Program will take Quality Assurance (QA)/Quality Control (QC) measures directly or through third parties to ensure the high quality of monitoring results before verification.

102. The ER Program MRV mechanism is the basis for determining the amount of ER generated by the ER Program and its nested projects. The ESMF, which was established with FAO support and financed by CAFI, reports to the Directorate of Forest Inventory and Management (DIAF). Emissions reduction will be measured and verified three times over ERPA's five-year duration. Specifically, the MRV mechanism will measure GHG emissions and absorptions in the ER Program zone, which will be made spatially explicit for subprojects. The PMU in cooperation with DIAF, DDD, and CN-REDD, will prepare the ER monitoring report to be submitted to the FCPF Carbon Fund for verification by an independent reviewer. ERs verified by monitoring period will serve as the basis for ER payments to be made to beneficiaries by the FCPF Carbon Fund. ERs emitted by the ER Program will be registered in the FCPF Registry and the DRC Transaction Registry once it has been developed and is operational.

103. The monitoring and evaluation of ERP activity implementation will be carried out according to the reporting methods laid out in Section 5.2. The monitoring report shall include the following elements:

- Implementation during the reference period: progress, modifications made to the ERPD, updates of drivers, lessons learned
- Monitoring, Reporting and Verification (MRV): forest monitoring system, approach, data and parameters, quantifying of ERs

²⁹ The GRM is available at: <http://www.pifrdc.org/mgp>

- Title transfers: ability to transfer the title, project data management system, registry of ER transactions, ER transferred to other entities or regimes
- Change of situation: occurrence of major events, risk evaluation, quantifying
- ERs available for transfer to the FCPF Carbon Fund
- Implementation of safeguards plans: SIS, GRM, program instruments, etc.
- Implementation of the benefit sharing plan: status of benefit distribution, financial management (including audits), improvements, etc.
- Creation and/or improvement of priority non-carbon-related advantages

104. The framework of ER Program performance will be developed in the program procedures manual using that of the Mai-Ndombe as a basis, particularly to guide the annual planning of activities. The performance framework will comprise indicators on the breakdown of beneficiaries by gender and disadvantaged groups for sub-projects and PIREDD projects. The OPERPA project (USD 5 million TA), described in Box 1, will include an activity to strengthen the Mai-Ndombe PIREDD's monitoring and evaluation mechanism to support its continued improvement.

8 Consultations

105. The DRC conducted consultations regarding the BSP at all levels – national, provincial, and local – throughout the drafting of the ERPD. The ERPD describes the benefit sharing principles agreed upon with ER Program stakeholders. The participatory BSP process is described in Chapter 15 and Annex 8 of the ERPD.³⁰ The latter describes the consultations, including discussions at local level, particularly in Bolobo, Oshwe, South-Kwamouth, and Inongo territories, some of which were conducted by WWF. During this phase, the consultations and work sessions focused on the entirety of the ERPD, including the BSP. From May 2014 to April 2016, 14 workshops and missions were organized with all of the stakeholders.

106. CN-REDD organized a participatory workshop on January 25, 2017 in Kinshasa to approve key benefit sharing principles and move forward with the BSP in preparation for ERPA negotiations. The results of this approval workshop are described in the World Bank Mission Memorandum as well as in the complete documentation along with workshop attendance lists. These results were also presented by CN-REDD to the Steering Committee of the National REDD+ Fund (FONAREDD) on February 3, 2017.

107. CN-REDD organized another consultation workshop on May 31, 2017 in Kinshasa, which resulted in a roadmap for the next steps. The workshop is documented in a memorandum that includes the list of participants. The advanced version of the draft BSP is also publicly available on the FCPF website.³¹

108. Following the signing of the ERPA of the Mai-Ndombe Emissions Reduction Program (ERP) between the Democratic Republic of the Congo and the World Bank on September 21, 2018, six prerequisites for its implementation were retained, including the finalization of the BSP by all stakeholders. To this end, the BSP Working Group (WG) established on November 12, 2018 drafted a work plan, which was reviewed on February 26, 2019 and provided for a concept note designed to facilitate discussions for the finalization of the advanced version of the BSP. This concept note was made available to the WG on April 5, 2019. A second BSP WG meeting was held on April 11 2019, to bring all WG members up to speed on the concept note (PCN). A third meeting was held on May 15, 2019, during which the Working Group approved the options in the concept

³⁰https://forestcarbonpartnership.org/system/files/documents/20161108%20Revised%20ERPD_DRC.pdf#page=248

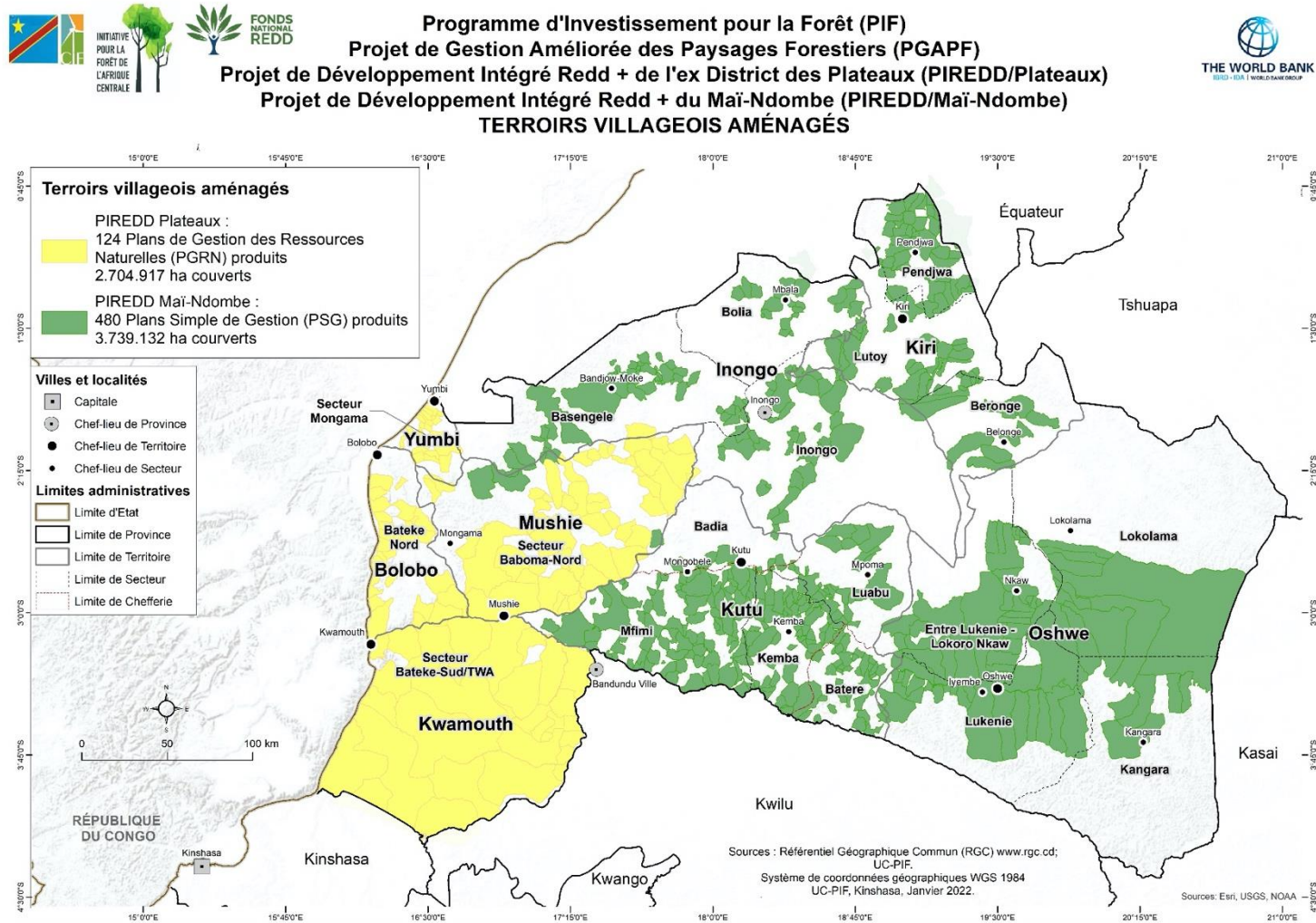
³¹https://forestcarbonpartnership.org/system/files/documents/BSP%20ER%20program%20Mai%20Ndombe_15%20June%202018_CLEAN.pdf

note, which added further details to the BSP. The Working Group met 10 times in total until February 2022 to work on BSP finalization, analyze methodological aspects, and review the results of various activities, including those related to LCIP consultation and revisions to the ERP baseline (which impacts the BSP).

109. As agreed with the FCPF at ERPA signing, a broad consultation with LCIPs took place in Mai-Ndombe in 2019. The consultations were conducted in the jurisdictional area by a consortium of three major environmental civil society platforms operating in the DRC: the Network of Indigenous and Local Peoples for the Sustainable Management of Forest Ecosystems (REPALF), the REDD Rénové Climate Working Group (GTCRR), and the REDD Climate Working Group (GTCR). Two other civil society networks were involved, namely the Young People's Movement for the Environment and Sustainable Development (DYJEDD) and the Coalition of Women Leaders for the Environment and Sustainable Development (CFLEDD).
110. The consultations were conducted during the process of finalizing the BSP to canvass communities about their motivations for joining the FCPF program and to inquire about what measures they intend to put in place to ensure ERP performance according to BSP provisions. A total of 2,497 people participated in the consultations in 13 workshops, 8 of which were at village level, 4 at regional level, and 1 at provincial level to confirm the results. Among the 2,497 participants in these workshops were 1,206 Bantu men, 383 non-Indigenous rural women, 639 indigenous men, and 269 indigenous women. The consultations were documented using the lists of participants broken down by relevant groups (gender, indigenous peoples), and photographs and videos attesting to the proceedings and validating the reported information. The consultations report was approved by the World Bank and includes supporting documents in Annex I and II (participant lists, photographs, videos, etc.).³² Annex 2 of this BSP presents a summary of the issues raised and preferences expressed by the local communities and indigenous peoples during the consultation process.
111. The World Bank team worked with experts in charge of consultations both before to support methodological aspects and after through reviews of intermediate versions of the BSP. Subsequently, the Bank team signed off on the report as an account of consultations in the specific context of finalizing the BSP for the Mai-Ndombe Program. This made it possible to: i) report on consultations with the Working Group for BSP finalization; and ii) elicit the views of Mai-Ndombe LCIPs to inform the process of finalizing the BSP by the Working Group.
112. Finally, the BSP was presented to stakeholders at the PGAPG/PRE Provincial Steering Committee meeting held on April 21, 2022 in Inongo. It was then approved in a national workshop held in Kinshasa on May 6, 2022.

³² Report available on the REPALF website: <http://peuplesautochtones.cd/events/rapport-des-consultations-aupres-des-peuples-autochtones-et-communautes-locales-des-zone-juridictionnelle-du-programme-de-reduction-des-emissions-dans-le-mai-ndombe/>

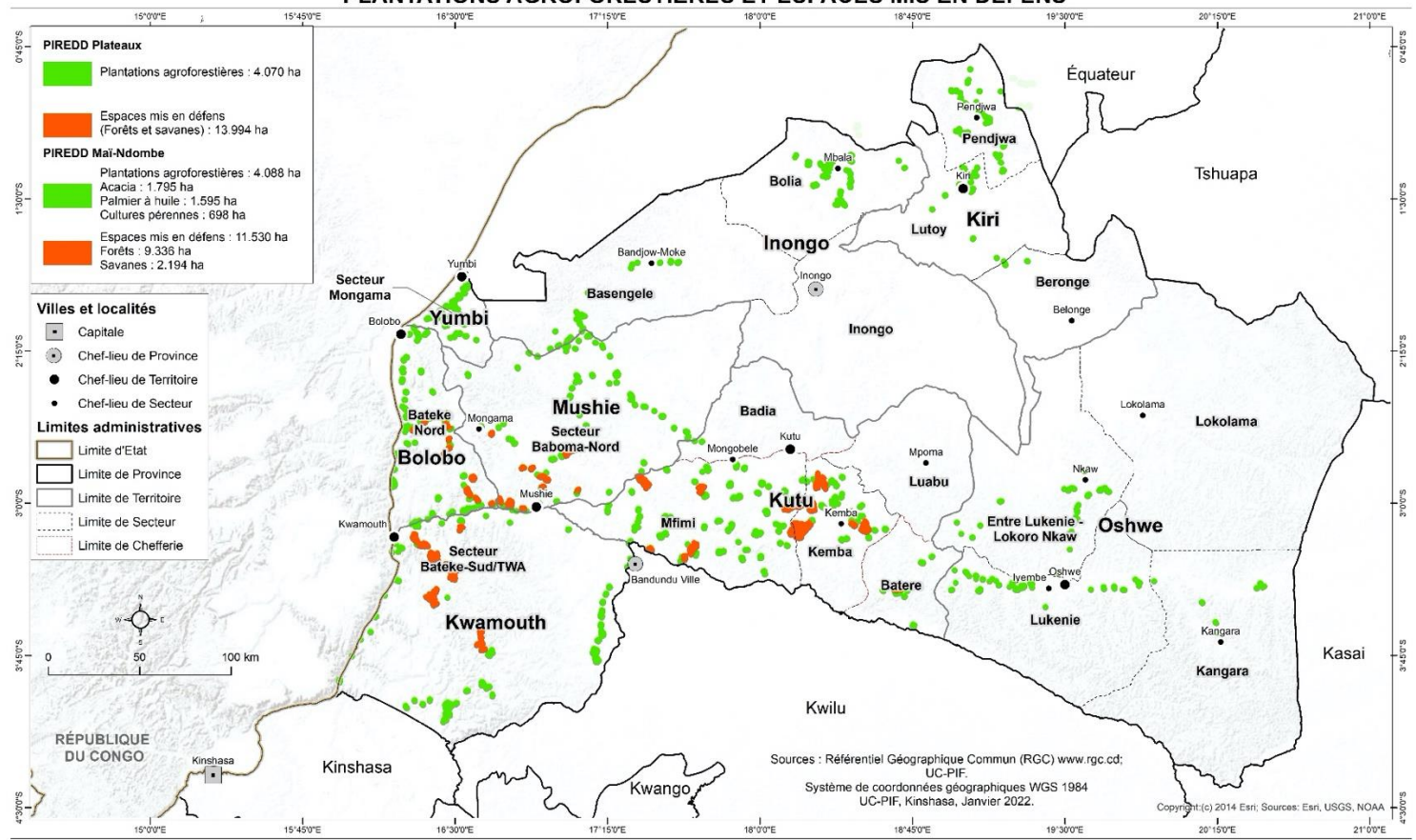
Annex 1. Village land developed in the Mai-Ndombe Province with the support of PIREDD Plateaux and Mai-Ndombe



Annex 2. Agroforestry plantations and areas set aside by the PIREDD Plateaux and Mai-Ndombe



Programme d'Investissement pour la Forêt (PIF)
Projet de Gestion Améliorée des Paysages Forestiers (PGAPF)
Projet de Développement Intégré Redd + de l'ex District des Plateaux (PIREDD/Plateaux)
Projet de Développement Intégré Redd + du Mai-Ndombe (PIREDD/Mai-Ndombe)
PLANTATIONS AGROFORESTIÈRES ET ESPACES MIS EN DÉFENS



Annex 3. FONAREDD/CAFI Portfolio Indirectly Contributing to ER Program

Program	Anticipated Results	Amount (USD)	Implementing Agency
Integrated Mai-Ndombe Program	Stabilization of deforestation and forest degradation in the old Mai-Ndombe district thanks to global vision centered on land use planning and strengthening local governance, leading to a reduction of 27.7 million tCo2eq in emissions	30 million (in 2 installments: 20 + 10)	World Bank
	20% improvement in living conditions and incomes of nearly 150,000 people (including 75,000 women), particularly farmers, while ensuring sustainable land and resource management		
	Promotion of sustainable development by increasing agricultural productivity through improved practices, the spread of perennial crops (1,650 ha), agroforestry (5,000 ha), and subsistence agriculture (11,650 ha)		
	Delivery of family-planning education to 180,000 households		

Finalization and operationalization of the National Forest Monitoring System	Monitoring of the evolution of forest cover and major deforestation events	10 million (in 2 installments: 6 + 4)	FAO
	Meeting UNFCCC criteria to ensure eligibility for performance-based payments related to deforestation reduction (including FREL submission)	Addendum 2018: 1 million Second installment approved in December 2019	
	Monitoring evolution of forest cover and major deforestation events		
Support to civil society	Fully functional REDD+ Rénové Climate Working Group (national coordination and governance and oversight bodies)	Initial allocation: 2 million (1 installment) Addendum 2018: 1 million	UNDP
	Expansion of organization and search for new partnerships		
	Provincial and regional coordinating bodies are active, particularly where REDD+ interventions are located		
	Training offered and attended		
	Strengthening of national capacity to:		World Bank

Sustainable forest management by Indigenous Pygmy Peoples	Identify models for sustainable management of natural resources by Indigenous Peoples	2 million (1 installment)	
	Test these models and disseminate them more widely		
Integrated program for Tshopo, Ituri, and Bas Uele (Oriental Province)	10% increase in incomes of target populations	33 million (in 2 installments: 20 + 13)	UNDP
	Achievement of about 10.8 million tCO ₂ e _q reduction, or about 10% of emissions in target areas, with a focus on hot spots along roads and in large urban areas		
	Strengthened local governance over land use planning and natural resource management		
	Increases in yields for staple crops (9,000 ha), cash crops, sustainable subsistence agriculture (160,000 ha), and agroforestry (6,000 ha)		
	Reduction in fuel consumption through fuelwood plantations, natural regeneration (45,000 ha), and 5,000 cooking stoves)		
	Establishment of 150,000 ha of community forestry		

Integrated program for South Ubangi Province	Enhanced management capacities	7 million (in 2 installments: 4 + 3)	World Bank
	Agricultural development that complies with management plans and promotes sustainable and perennial crops (cocoa and coffee)		
	Elaboration and implementation of 22 sustainable development plans (SDP) and 100 simple management plans (SMP)		
	Strengthened technical capacities of decentralized authorities		
Support for land use planning reform	Development of land use planning policy	4 million (in 2 installments: 3 + 1)	UNDP
	Strengthening regulatory and legal framework to coordinate sectoral and local policies to resolve land conflicts and promote balanced land use	Addendum 2018: 4 million (in 2 installments: 2 + 2)	
	Enhanced capacity for dialogue and negotiation among stakeholders, mainly MATUH, CONARAT, and their regional units as well as local entities		
	Social and environmental safeguards taken into account in land use planning		

Support for land reform	Strengthening CONAREDD to prepare and implement land reform	3 million (1 installment)	UN-Habitat
	Communities develop methodological guidance to strengthen land registers and apply lessons learned from pilot projects (conflict resolution and harmonization of tenure security) to inform the land policy document	Addendum 2018: 4 million (in 2 installments: 2 + 2)	
	The land policy document and associated legal texts are developed in a participatory manner		
Integrated Program for Kwilu Province	Carbon stocks are maintained and deforestation avoided (223,000 tCO ₂) through the promotion of agroforestry (5,000 ha)	4 million (in 2 installments: 3.2 + 0.8)	JICA
	10% increase in farmers' median incomes		
Integrated Program for Équateur Province	Support for sedentary agriculture in savannahs and fallow land through PESs and improved crops	CAFI funding: 6.16 million (in 2 installments: 4.4 + 1.76)	FAO
	Establishment of 3,000 ha of fuelwood plantations and 7,000 ha of natural regeneration	Co-financing from Sweden: 3.84 million	
	Adoption of improved stoves by 10,000 households		

	Support for 480,000 ha of community forestry		
	10% increase in contraceptive use in targeted communities		
Sustainable agriculture and livestock management	Development and implementation of forest-sensitive agricultural policy, including the promotion of savannah-based agriculture	3 million (one installment)	FAO
Sustainable fuelwood consumption and partial substitution	Provision of alternatives to unsustainable fuelwood and developing markets for LPG and improved stoves	15 million (in 2 installments: 9 + 6)	UNDP and UNCD
	87,000 clean energy solutions made available		
Integrated Program for Mongala Province	Two-phase program based on territorial approach and capacity building to support sustainable agroforestry systems (banana, fruit trees), non-timber forest products (edible caterpillars), and territorial development planning	7 million (in 2 installments: 4 + 3)	ENABEL
	Establishment of up to 250 hectares of fuelwood plantations through community forestry		
Scaling up of family planning	Reduction of unplanned population growth effects on forests	33 million:	UNFPA and UNOPS

	Provision of 8 million couple-protection years	CAFI funding: 8 million in 2 installments (5 + 3) Norway: 25 million	
	Support for 193 health centers		
Savannahs and degraded forests	Sustainable management of degraded savannahs and forests by small and medium-sized agricultural enterprises (Kwilu and Tshopo provinces) with the establishment of 7,000 hectares of agroforestry	15 million (in 2 installments: 8 + 7)	FDA
Sustainable forest management	Development of a strategy to strengthen economic governance of the sector	16 million: CAFI funding: 12 million in 2 installments (6 + 6) FDA Funding (4 million)	FDA
	Transparent and participatory elaboration of forestry policy		
	Development of artisanal forest and wood sector based on lawful practices		
	Sustainable management of forests by communities and local entities		
	Management of large forest concessions in accordance with DRC law		
	Strengthening of capacities of local forestry services and of decentralized administration		

DRC National REDD+ Fund Secretariat	Coordination, technical assistance, transparency, and policy dialogue	15.9 million	UNDP
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Annex 4. Summary of BSP Consultations with Local Communities and Indigenous Peoples

THEMES DISCUSSED	VIDEO/AUDIO	NON-IP MEN	IP MEN	LAND CHIEFS	IP WOMEN	RURAL WOMEN	LOCAL CIVIL SOCIETY (Local NGOs and Associations)
Resolution of grievances using the Program mechanism	Yes	Start with local governance authorities (clan council, village assembly) then, if a satisfactory solution isn't found, to the LDC and RAMC	Approach customary authorities first and organize discussions until solutions are found	Turn to land chiefs first since they are the true holders of customary land rights	Talk to customary authorities before using project mechanisms	Start with the village elder council, and if unsatisfied, turn to the village assembly	Start with local authorities (LCD and RAMC)
What to do with 4% (2% for IP and 2% for LC) of funds for LCIP in recognition of their historic lack of responsibility for deforestation?	Yes	Basic social infrastructures (schools, health centers)	Basic social infrastructures and payment of children's education costs	Basic social infrastructures	Priority must be given to the education of IP children at all levels	Income-generating activities and children's education	Community infrastructures
Alignment of customary land rights and the ER program	Yes	Support the recognition of customary land rights by mapping village lands	Respect IP hunting areas	Do not call into question land chiefs' traditional land privileges	Take into consideration the areas that IP women traditionally occupy and carry out their activities	Respect agricultural and food gathering areas	Respect areas that LCIPs traditionally occupy

Change habits for ER program performance	yes	Leave lands fallow for longer periods and don't farm primary forests					
Implementation of alternative activities to develop for ER program performance	Yes	Livestock and fish farming activities	Beekeeping, livestock and fish farming activities	Beekeeping, livestock and fish farming activities	NFTP commercialization, livestock, literacy, and fish farming activities	NFTP commercialization, livestock, literacy and fish farming activities	Setting aside of savannahs, NFTP commercialization, and creation of tontines
Implementation of binding community measures to uphold activities contributing to ER Program performance	Yes	Provisions for customary taboos	Agreement in principle to find adequate and effective measures, notably traditional rituals of prohibiting the use of certain areas for a given amount of time	Measures must be coherent with customary sanctions	Traditional ritual to prohibit access to integral conservation areas	Measures must be taken with the mutual consent of all villagers	The villagers and land chiefs must confer with one another to find the adequate measures
Possibility and conditions for development of community REDD+ sub-projects	Yes	Sub-projects are good to obtain financial resources and allow communities to achieve performance. The subject is innovative but interaction with people who understand the process is necessary to guide communities first before leaving them to continue on their own.					
Possibility and conditions for development of activities in non-project rural areas	Yes	Not all rural areas will have the possibility of developing REDD+ sub-projects. It's a real opportunity for non-project rural areas to develop activities contributing to Program performance.					

Capacity building for LCIP and subjects to which it applies	Yes	Capacity building for the use of new cultivation techniques	Literacy and fund management	Capacity building for income-generating activities	Literacy and fund management	Literacy, micro-loans and fund management	Training on how to calculate carbon stocks, monitoring of forest biomass
Participation of women in ER Program governance bodies	Yes	The positive experience of the Mai-Ndombe PIREDD, in which women actively participated in the highest governing bodies of the RAMC and LDC, was unanimously approved to be duplicated in the implementation of the Mai-Ndombe ER Program.					
Alternatives to develop to reduce deforestation (in particular slash-and-burn agriculture and charring)	Yes	Livestock, beekeeping, fish farming, agricultural processing, development of sedentary agriculture via agro-forestry	Livestock, beekeeping, fish farming	Livestock, beekeeping, fish farming	Livestock, beekeeping, fish farming	Livestock, beekeeping, fish farming, agricultural processing	Development of sedentary agriculture via agro-forestry and large-scale distribution of improved stoves
Adoption of agro-forestry and sustainable agricultural practices	Yes	Agreement in principle and need to strengthen agro-forestry techniques					
Setting aside of savannahs	Yes	Agreement in principle and insistence on the actual remittance of Payments for Environmental Services to encourage the holders of customary rights on these savannah areas.					
Monitor and supervise deforestation activities carried out by migrants	Yes	Monitor the activities of temporary migrants	Monitor the activities of temporary migrants	Monitor the activities of migrants and make sure they do not carry out deforestation activities	Monitor the activities of migrants and make sure they do not carry out deforestation activities	Monitor the activities of migrants and make sure they do not carry out deforestation activities	Monitor the activities of migrants and make sure they do not carry out deforestation activities
Carry out activities to avoid the	Yes	Practice agro-forestry and leave lands	No farming in primary forests	No farming in primary forests	No farming in primary forests	No farming in primary forests	No farming in primary forests

displacement of deforestation		allow for longer periods					and avoid slash-and-burning
Possibility of the loss of territorial land rights or restriction of access	Yes	Respect sacred sites and fishing areas and harvesting of NTFP	Respect hunting areas and sacred sites and leave them outside the project area	Provide consequential and equivalent financial compensation for the rights for which access is restricted	Respect fishing, hunting and NTFP harvesting areas	Respect resource harvesting areas for communities' physical survival	Map out community development areas and put them outside restricted access areas
Harmonize REDD+ and culturally-adapted economic activities	Yes	Do not change hunting and fishing habits	Respect traditional hunting and NTFP harvesting methods	Respect sacred village sites	Respect traditional techniques for the harvesting of food and plant protection resources	Respect community development areas and free up agricultural areas	Build on endogenous knowledge and traditional LCIP know-how in Program implementation
Consider measures to maintain the forest's symbolic value within the ER Program	Yes	Respect the forest's symbolic value	Protect sacred sites and the large trees that house the ancestors and serve as a temple to invoke the divinatory oracle and ancestors	Maintain customs and rituals invoking ancestors under the trunks of great trees	Do not destroy the maternal virginity and procreation rites that are conducted under the trunks of large trees and along the banks of creeks and streams	Strengthen the forest's symbolic value in deforestation reduction activities	Calculate the monetary value of ritual activities and compensate the losses for IP who will no longer have the fullness of time to invoke their ancestors
Perception of REDD+ monetary and non-monetary benefits	Yes	Primacy for monetary benefits over non-monetary benefits, but the two must go hand-in-hand	Primacy for monetary benefits	Primacy for monetary benefits	Primacy for monetary benefits	Primacy for monetary benefits	Balance to be established between monetary and non-monetary benefits

Forest and community investment grants	Yes	Agreement in principle for forest grants but only if households that make efforts to protect forests are remunerated	Agreement in principle for forest grants	Agreement in principle for forest grants	Agreement in principle for forest grants to help reduce poverty	Agreement in principle for forest grants	Agreement in principle for forest grants but given to LCIP that have proven themselves in reducing deforestation
Development of methods to improve LCIP income management capacities	Yes	A consensus was reached so that culturally-adapted and suitable training can be provided to communities to allow them to profit from the monetary income they would receive from the Program if they reach their performance goals.					
Measures to involve migrants and non-land-right holders into the program	Yes	Migrants will be involved in the programs and can contribute to performance in areas allocated to them through land rental contracts or temporary concessions given by customary land rights owners.					
Measures to take to ensure decisions are adhered to at community level, especially ensuring the entire community adheres to the conditions to achieve Program performance	Yes	Customary prohibition rituals with customary sanctions for recalcitrant villagers adapted to each community and its traditional practices. Often, these are esoteric rituals that cause no physical harm to humans.					

Reconciling REDD+ and land chiefs' customary land rights	Yes	Respect land chiefs' customary rights since they hold the customary land rights; their resistance would render the REDD+ process simply impossible.					
Implementation of alternative activities to develop to reduce dependence on forest resources	Yes	Agricultural, beekeeping, fish farming, poultry farming, small livestock and artisanal activities					
Participation of indigenous women in decision-making bodies	Yes	Agreement in principle but provide training and build their literacy beforehand	Agreement in principle	Agreement in principle	Agreement in principle	Agreement in principle	Agreement in principle, but give them functional literacy courses
Measures to take to reduce the negative effects of activities on traditional ways of life	Yes	Do not oblige IP to become sedentary, have them participate in program performance activities without infringing on their cultural habits					
Measures to take to strengthen pacific cohabitation between IPs and LCs	Yes	Customary sanctions to envision for those who continue to discriminate against Ips	Customary sanctions	Customary sanctions	Strengthen collective activities between IP women and LC women	Strengthen collective activities between IP women and LC women	Ensure the integration of IPs while respecting their cultural specificities
Measures to take reconcile program	Yes	Use local development areas	Only practice agriculture on lands left	Only practice agriculture on	Avoid very large commercial and	Make agriculture sedentary	Use usual community development

performance and traditional forest activities			fallow for long periods	lands left fallow for long periods	non-community fields	and advocate another model than slash-and-burn	areas and leave integral conservation areas untouched
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N.B.:

The massive support of LCIPs to the Emissions Reduction Program during the organized consultations led us to forgo covering all the details of the work done in the village focus groups to concentrate solely on the territorial workshops.

The viewpoints of the LCIPs revolved around the same motivations and arguments which clearly show their support for the Emissions Reduction Program with the hope that it could help reduce poverty in their territories and strengthen their abilities to reduce deforestation.