

## PROJECT INFORMATION DOCUMENT (PID) APPRAISAL STAGE

Report No.: PIDA22546

<b>Project Name</b>	Forest Dependent Communities Support Project (P149049)
<b>Region</b>	AFRICA
<b>Country</b>	Congo, Democratic Republic of
<b>Sector(s)</b>	Forestry (50%), General agriculture, fishing and forestry sector (25%), Public administration- Agriculture, fishing and forestry (25 %)
<b>Theme(s)</b>	Participation and civic engagement (20%), Land administration and management (20%), Other environment and natural resources management (20%), Decentralization (20%), Indigenous peoples (20%)
<b>Lending Instrument</b>	Investment Project Financing
<b>Project ID</b>	P149049
<b>Borrower(s)</b>	Caritas Congo asbl
<b>Implementing Agency</b>	National Steering Committee
<b>Environmental Category</b>	B-Partial Assessment
<b>Date PID Prepared/Updated</b>	10-Dec-2015
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<b>Estimated Date of Appraisal Completion</b>	23-Oct-2015
<b>Estimated Date of First Grant Approval</b>	29-Mar-2016
<b>Appraisal Review Decision (from Decision Note)</b>	

### I. Project Context

#### Country Context

The Democratic Republic of Congo is a country with huge potential. It spans 2.3 million km<sup>2</sup> with a widely dispersed population of nearly 70 million - 60 percent living in rural areas. With its immense, extraordinary agricultural and mineral resources, the second largest contiguous tropical rain forest block in the world, fertile land, and huge hydroelectric potential, the country has the potential to become one of Africa's richest countries and one of the continent's key engines for growth. However, more than 80 percent of its population lives under conditions of extreme poverty (less than US\$1 a day). Seventy-one percent of people are food insecure and 57 percent do not have access to basic health services.

Since 2001, the country has been recovering from a series of conflicts and is still a fragile post-conflict country with enormous needs for reconstruction and economic growth, but within the

context of a severely constrained fiscal space and weak institutions. The return to peace in most of the country in 2003 paved the way for political and economic reforms. While security remains an issue in contained areas, with frequent bursts of violence and tensions, the government successfully implemented its economic program for the past few years and observed all the quantitative performance criteria and indicative targets for this program.

The Democratic Republic of Congo is now one of Africa's most rapidly growing economies, but the lack of employment opportunities poses significant risks. Economic growth is expected to accelerate to around 9.0 percent in 2014. The mining, agriculture and construction sectors are driving growth in DRC with large foreign investments in mining and telecommunications. This growth is projected to remain robust in the coming years despite a challenging global economic environment and governance challenges. Prudent macroeconomic policies contained inflation at 1 percent at end-2013 and end-2014, and the Congolese franc remains stable at around 920 to one US dollar. The external position has improved with the current account deficit declining from 11 to 8.9 percent of GDP. Nevertheless, international reserves remained at their relatively low level at 8 weeks of imports over the last three years.

However, economic recovery has not benefited most of the population or the development of the private and formal sector. One million young people join the labor market every year in DRC, and high rates of youth unemployment persist. Forty (40) percent of the youth are employed in rural areas, whereas only 24 percent are employed in urban areas. A high unemployment rate (46 percent in 2013) and the resulting lack of income are exacerbated by the relatively high price of consumer goods. Also, there is a large disconnect between the preferences for certain types of employment (in the formal sector, public or private) and the available jobs which are largely in the informal sector.

While the Democratic Republic of Congo holds most of the fertile land reserves in Africa, the country imports most of what it consumes, causing basic commodity prices to stay very high, partly due to inefficiencies and lack of competition along the trade logistic chains. Thus, the government has just started developing large-scale agro parks around the country for the production of agricultural commodities (maize, corn, soy, and cassava) using modern techniques.

The challenges for the country reside in (a) improving governance and building strong institutions, (b) improving infrastructure (notably roads and energy) and the investment climate to unleash private sector potential that will create growth and generate jobs, (c) building human capital, and (d) consolidating peace and stabilizing the eastern part of the country.

## **Sectoral and institutional Context**

### **Value of the Forest and the Economic Impact of Deforestation**

The Democratic Republic of Congo harbors half of all African rainforests, with 62 percent of its territory covered by various types of forest ecosystems. Forests of all types make a critical contribution to the livelihoods of about 40 million people, who are among the world's poorest, by providing them with food, household energy, medicine, building materials, and income. The country's biodiversity is a globally important asset. The country ranks fifth in the world for plant and animal diversity and contains five Natural World Heritage Sites, more than the rest of Africa combined.

The country's current deforestation rate of 0.3 percent is relatively low in comparison to the average deforestation rate of tropical countries. Yet, the country is among the top ten worldwide with regard to forest cover loss in absolute terms, with an estimated deforestation of more than 350,000 ha per year over the period 2000–2010. Deforestation is concentrated in 'hotspots' located mainly around the large cities and in the densely populated areas on the edge of the large forest block of the central basin. Household-scale slash and burn agriculture, exploitation of wood (including fuelwood and charcoal), and, to a lesser extent, timber harvesting are the major drivers of deforestation and forest degradation in the Democratic Republic of Congo. They reflect the strong dependence of both the rural and urban population on forest resources.

Dependence on biomass energy is a case in point. Over 90 percent of the urban population depends directly on biomass fuels (mainly charcoal and fuelwood) for energy needs, including cooking. The Center for International Forestry Research estimates that the city of Kinshasa alone consumes over 4.7 million m<sup>3</sup> of wood annually for energy needs. The charcoal trade to Kinshasa was worth an estimated US\$143 million in 2010, more than thrice the value of all formal timber exports in that year. Rural communities are also strongly dependent on protein sources from forests, including bush meat, with annual consumption estimated at over 1 million tons.

Deforestation and forest degradation rates could escalate rapidly in the future with the reconstruction of transportation infrastructure. Improved infrastructure facilitates access to forests, which could lead to increased conversion of forests for other land uses, logging, and wildlife hunting and trapping. The rehabilitation of the RN4 (Route Nationale 4, National Road 4) in Province Orientale is an example of potential new impact of infrastructure development on forests, in this case, in the form of a considerable increase in small-scale illegal logging for export to Uganda and other regional markets.

#### REDD+ as a Source of Benefits for the Forest Communities

Reducing emissions from deforestation and forest degradation (REDD+) is an international mechanism under discussion that could offer concrete possibilities for the Democratic Republic of Congo to seek financial rewards for the globally significant environmental services provided by the promotion of conservation of forest carbon stocks, sustainable management of forests, and enhancement of forest carbon stocks.

The country has gained international recognition for playing a leadership role in international negotiations around REDD+ and for implementing a national process of 'REDD+ Readiness' led by the Coordination Nationale REDD+ (National REDD+ Coordination [CN-REDD]) Unit under the Ministry of Environment, nature Conservation and Sustainable Development (MECNDD). The national REDD+ strategy has been prepared through a participatory process. It identifies three strategic options that can effectively and efficiently reduce emissions from deforestation and forest degradation while maximizing co-benefits for poverty reduction and biodiversity protection: (a) organize forested land around the concept of Permanent Forest Heritage based on a sustainable and balanced rural development; (b) growth poles in savannah and urban centers; and (c) support the revolution of modernization and enabling activities. Therefore, in the forested area, REDD+ policies are mostly related to land use planning to tackle the drivers of deforestation.

Cross-sectoral policies and programs covering not just the forest sector but also the agriculture,

energy, and transport sectors are needed to reduce deforestation. The Inter-ministerial Committee on REDD+ was created to ensure cross-sectoral collaboration to achieve reduced deforestation, but it has not yet demonstrated its capacity for fostering a cross-sectoral policy consensus. Achieving effective cross-sectoral coordination is an important challenge for delivering on REDD+ in the country.

### The Forest Investment Program

One of the major initiatives to support REDD+ in the Democratic Republic of Congo is the Forest Investment Program (FIP), a targeted program of the SCF which is one of two funds within the framework of the Climate Investment Fund (CIF). The FIP seeks to address the underlying drivers of deforestation and catalyze transformational change by providing up-front investment to support the implementation of the REDD+ strategy and generate information and experience for policy and regulatory changes.

The country has prepared an FIP Investment Plan to support activities that tackle the main drivers of deforestation and forest degradation in the country and create intervention models that can be scaled up in the future. This investment plan mostly targets three supply basins: (a) Kinshasa; (b) Kananga/Mbuji-Mayi; and (c) Kisangani. The intervention areas were selected through a participatory process at the national level. In each of those basins, the projects aim at promoting sustainable forest management while improving the livelihood of rural communities.

The FIP Subcommittee endorsed a US\$60 million grant envelope in July 2011 for two projects implemented through the Bank (Kinshasa basin) and the African Development Bank (AfDB) (Kisangani and Mbuji-Mayi/Kananga basins). In addition to those two projects financed through the government, the FIP has two complementary windows: the 'Set Aside' funds for private initiatives and the 'Dedicated Grant Mechanism' (DGM) for Indigenous People and Local Communities (IPLC).

### The Dedicated Grant Mechanism

The DGM is a global program that was conceived and developed as a special window under the FIP to provide grants to the IPLC and intended to enhance their capacity and support initiatives to strengthen their participation in the FIP and other REDD+ processes at the local, national, and global levels. The DGM is designed specifically to promote the inclusion of communities reliant on forests in policy formulation and initiatives that seek to reduce deforestation and degradation. Its global design is a product of a collaborative effort between the SCF, indigenous peoples (IPs), and local community representatives from various countries. The Democratic Republic of Congo has been ably represented in this process with rigorous engagement from self-selected representatives.

This program is implemented following agreed Framework Operational Guidelines that were established in collaboration with a global group representing the IPLCs from the FIP countries. The DGM program is structured in two parts to serve the localized objectives of the IPLC at the country level as well as the training, alliance-building, and knowledge exchange needs at the regional and global levels.

- Country-level 'DGM' investment projects (such as this project) that are financed in each of the eight FIP pilot countries to support on the ground activities and capacity building

- A Global Component for exchange of knowledge, capacity building, and strengthening of networks and partnerships among IPLC organizations in the pilot countries and beyond

The Global Component is driven by a Global Steering Committee (GSC), composed of delegates from each country, and supported by a Global Executing Agency (GEA). Each Country Component (or country project) is driven by a National Steering Committee (NSC) and supported by a National Executing Agency (NEA). The GSC is strongly linked with the various NSCs and similarly, the GEA has a mandate to foster collaboration with the NEA.

The DGM program is implemented by the Bank as a series of projects under a single framework program (Global Learning and Knowledge Exchange Project) and eight country-specific projects. The Global Learning and Knowledge Exchange Project and the framework approach were approved by the Board on March 3, 2015.

The proposed Forest Dependent Community Support (FDCS) Project is the country-level 'DGM' operation for the Democratic Republic of Congo, and as such, it aims to support the IPLCs' participation in the FIP and more generally in the REDD+ as well as land use management at the local and national levels. The project is aligned with the global FIP and DGM framework and is by nature exclusively composed of country-specific activities.

Projects financed under the DGM have an innovative design as they are built on direct engagement with the indigenous communities. The IPLC maintain a strong role in the governance of the project since they establish their own governance bodies, entirely composed of IPLC representatives. As the country representatives contributed actively to the design of the global DGM and the formulation of its Framework Operational Guidelines, that guidance has been captured well in the design of the proposed country operation.

Leadership by the IPLC. The project has been designed under the initiative of the IPs and/or Local Communities (LCs) and will directly benefit them; the IPLC organizations are at the heart of project operational arrangements and stand to benefit from the project results over the long term. The capacity-building component, in particular, has been designed to follow a 'learning-by-doing approach' in the implementation of microprojects. The ownership by the IPLC (that will lead to self-identified training activities, resolution by the communities of own their difficulties, and participatory decision taking) is an objective as important as the successful implementation of the microprojects.

Respect of IPLC culture. Consultations, selection of delegates, and NSC rules have been led by the IPLC in a manner that respects the cultural ways, modes of living, rights, and cultural resources of the communities.

#### Situation of Indigenous Peoples and Forest-dependent Communities

Millions of people in Africa depend directly or indirectly on forests; hence the need to preserve and sustainably manage forested areas to maintain and improve livelihoods. Among the forest-dependent population, the IPs represent the most iconic and vulnerable group. There has not been any official census of the indigenous population in the Democratic Republic of Congo but it is estimated at around 600,000 people located in various provinces (Équateur, Bandundu, Kivu,

Province Orientale, Katanga, and Kasai). Traditionally, these people heavily rely on forest resources for nutrition, construction, and medical purposes. However, the IPs remain one of the most marginalized and poorest people in the country.

The IPs in the Democratic Republic of Congo include the following groups: Aka, Twa, Cwa, Baka, and Mbuti. Most IPs are sedentary or semisedentary. Only a small portion (around 40,000) has a nomadic lifestyle (hunting and gathering), but traditions of hunting and semi nomadism for hunting are still common. Despite this shift to sedentary livelihoods, the IPs have kept their cultural traditions alive and struggle to preserve their specificity, technical know-how, and ancestral knowledge. For cultural, religious, and economic reasons, they strongly depend on forest resources (and more generally on nature).

In theory, according to the Constitution of the Democratic Republic of Congo that states that all citizens are equal, the IPs have the same rights as any Congolese citizen; in reality, they suffer from discrimination and have limited access to basic services such as education, health, justice, and political and social representation. In general, the IPs remain subject to the dominance of surrounding communities and are often exploited as low-paid workers and treated with contempt. This situation is aggravated by the sedentarization process, sometimes leading to gradual loss of cultural identity, denials of rights, violence, and spoliation.

The IPs are not only seen as a fragile population group but also as a source of knowledge that could be used as part of the development policies within the subregion. This was recently exemplified by an edition of the Forum International sur les Peuples Autochtones d'Afrique Centrale (Indigenous Peoples Forum for Central Africa [FIPAC]) in March 2014 dedicated to 'Indigenous Peoples, Traditional Know-how, and Green Economy.' Instead of limiting the IPs' development to artisanal handicraft and small businesses, this approach recommends the use of the rich traditional culture and knowledge of the forest communities (which are known to respect the environment) as a lever for economic diversification, inclusive growth/poverty reduction, and job creation in Central Africa as part of the green economy.

While the potential has been identified, the challenge remains to find ways to exploit those customary practices to generate socioeconomic benefits for the IP population. The environment ministers of Communauté économique des États de l'Afrique centrale (Economic Community of Central African States [CEEAC]) and the IP organizations have issued respective common declarations, urging the countries to promote traditional practices within the emerging framework of the green economy.

#### Representation of the Indigenous Peoples in the Democratic Republic of Congo and Collaboration with Civil Society

The efforts and goals of IPs are shared and broadly supported at the subregional and international levels. This movement has achieved important collective outcomes with the support of international nongovernmental organizations (NGOs) and various United Nations (UN) organizations, especially adoption of International Labor Organization (ILO) Convention 169, signed by the Democratic Republic of Congo (but not ratified); adoption of the UN Declaration on the Rights of Indigenous Peoples by the UN General Assembly on December 12, 2007; and the creation of the United Nations Permanent Forum on Indigenous Issues (UNPFII). Those international instruments (which are not legally binding) recommend that member states establish adequate measures 'within the

national legal system to resolve land claims by the peoples concerned (Art 14, 3 - ILO 169)'. This document emphasizes the collective attachment of the IPs to their land and resources and encourages states to use the principle of free, prior, and informed consent for all activities that concern the IPs.

Regional organizations such as the CEEAC and the Commission des Forêts d'Afrique Centrale (Central African Forest Commission [COMIFAC]) are trying to protect and promote the IPs' cultural assets. To increase the visibility of IPs' organizations and help them be more structured at the subregional level, the COMIFAC is supporting the REPALEAC (Réseau des Peuples Autochtones et populations locales pour la gestion de l'Environnement en Afrique Centrale), a subregional IP network operating in the ten COMIFAC countries. The REPALEAC is represented in the country by the Réseau des Peuples Autochtones et Locaux pour la gestion durable des Ecosystèmes forestiers (Network of Indigenous Peoples and Local Communities for Sustainable Forest Ecosystem Management [REPALEF]), bringing to the REPALEF the legitimacy and the mandate to federate IPs organization to appear stronger at the subregional level. In recognition of these efforts, the CN-REDD which is in charge of the REDD+ policy within the country has included the REPALEF in the group of civil society organizations (CSOs) that are consulted on the REDD+.

In addition, the IPs from the Democratic Republic of Congo are represented at the international level by the UNPFII, which was given a mandate by the UN to 'discuss indigenous issues within the mandate of the council relating to economic and social development, culture, environment, education, health, and human rights'. Out of the 16 members of the UNPFII, 8 are nominated directly by indigenous organizations in their regions through regional caucuses. However, the issues of legitimate representation at the national level are transposed at the regional level as it has an impact on the attendance of the regional caucuses.

Finally, major international NGOs are supporting the IPs mostly at the international level. While some are specialized in the defense and promotion of the IPs (such as Forest People Programme [FPP]), most of them have broader agendas such as conservation (World Wildlife Fund [WWF] and Rain Forest Foundation), civil rights, and anticorruption.

Overall, IPLC underrepresentation has been identified as a major issue at all levels that prevents their participation in local, national, and international discussions on policies that directly affect them. The proposed FDCS Project, by design, aims to bridge that gap by placing the IPs at the forefront of project interventions.

### Indigenous Peoples and the World Bank Group

In 2005, the IPs communities in the Democratic Republic of Congo successfully filed a complaint with the Inspection Panel and requested an investigation be carried out on the grounds that they were being harmed by forest reforms supported by the Bank (lack of consultations, leading to violations of the pygmies' rights to occupy, manage, and use their ancestral lands according to their traditional practices). The ensuing action plan designed jointly by the Africa Region and the Inspection Panel emphasized that the Bank should integrate forest-dependent communities more widely into the Bank's activities in the country and support critical activities such as capacity-building, participatory zoning, customary rights, law enforcement, and independent monitoring in forest-related operations.

The Bank supported the country's government to focus on longer-term efforts that would address IPs' issues in a more systematic and institutionally sustainable way. To this end, consultations were organized in 2008 with pygmy-led NGOs and other relevant stakeholders to identify key concerns for the IPs, resulting in the completion of the 'Strategic Preparation Framework for a Pygmies' Development Program' in 2009.

This study outlined the need to address the state of poverty and marginalization in which the IPs live and thus asserted the importance of reinforcing the IPs' capacities, valuing or preserving their culture and identity, and improving their livelihoods. It concluded that the following aspects should be included in any program supporting the IPs, especially from the Bank.

- ☐ To strengthen the capacity of Pygmy leaders and institutions to defend their rights.
- ☐ To valorize and preserve the Pygmy culture and identity.
- ☐ To link Pygmy development with that of other communities and encourage cooperation between the IPs and non-IP communities.
- ☐ To improve living conditions for Pygmies with specific culturally fitted interventions.
- ☐ To promote a dialogue on Pygmy rights and status, especially the IPs' user rights.
- ☐ To prepare a census of Pygmy communities.

As an indirect consequence of these efforts, a draft bill on the protection and promotion of Pygmies' rights was introduced into the national Parliament in May 2014 but has not yet been put to vote.

## **II. Proposed Development Objectives**

The objective of the project is to strengthen the capacity of targeted Indigenous Peoples and Local Communities (IPLC) in selected territories and at national level to participate in REDD+ oriented land and forest management activities.

## **III. Project Description**

### **Component Name**

Component 1 - Reinforce the participation of the IPLC in forest and land management processes related to REDD+

### **Comments (optional)**

### **Component Name**

Component 2 - Support community-based sustainable forest and land management

### **Comments (optional)**

### **Component Name**



Component 3 - Increase the capacity to implement the IPLC development activities and consolidate  
**Components (optional)**

#### IV. Financing (*in USD Million*)

Total Project Cost:	6.00	Total Bank Financing:	0.00
Financing Gap:	0.00		
<b>For Loans/Credits/Others</b>			<b>Amount</b>
Borrower			0.00
Strategic Climate Fund Grant			6.00
Total			6.00

#### V. Implementation

##### A. Institutional and Implementation Arrangements

In accordance with the Global DGM Guidelines, the Democratic Republic of Congo DGM has developed a governance and management arrangement with the capacity for coordination, partnership, and synergies. An NSC will accompany project implementation and an NEA will be selected by the time of project appraisal.

The NSC will work as a deliberative and social control council. Its principal roles and responsibilities are to (a) decide on the annual work plans and the eligibility criteria for funding in accordance with the criteria established by the Global DGM Guidelines for Operations; (b) review and make funding decisions on eligible community proposals; (c) provide oversight of the project's implementation and keep the functioning of the NEA under review; (d) review the progress of activities with regard to PDOs against indicators and promote learning from the results among stakeholders; (e) report to the GSC on national activities on a semiannual basis; and (f) mediate any conflicts related to the DGM funding proposals that may arise during the course of project implementation.

In compliance with the Global DGM Guidelines, the NSC will be constituted exclusively of beneficiaries (16 delegates from the 16 territories in addition to 8 from the national networks, in particular the REPALF, and observers). Observers include representatives from the MECNDD and the Bank. One or two of the NSC representatives—selected by their peers—will participate as members in the GSC. Members of the FIP Coordination Unit (part of the MECNDD will provide inputs on technical soundness, operational feasibility, and alignment of proposals with national policies. They may be asked to provide advice and resources but will not take part in the selection of community proposals for funding nor the annual activity plan. If needed, the Bank may provide guidance on the technical soundness and feasibility of the proposals and their alignment with fiduciary, procurement, and safeguard policies but will not take part in any NSC decision-making process. Appropriate principles of transparency and accountability will be built into the NSC's decision-making processes. Its functions and membership will be further detailed in the PIM.

The NEA will be selected through an open process before project appraisal. After informal one-on-one discussions led by the Bank with potential candidates (in full transparency with the NSC), the

interested operators have been more formally contacted through a request of interest and the submission of a technical and financial proposal. As several options are possible, each candidate was requested to propose a tailored solution with specific institutional arrangements.

The selection is carried out by the NSC Executive Office with the assistance of the REPALEF. The NEA is a nonprofit and nongovernmental organization that meets the Bank's program-related, fiduciary, and safeguard requirements. The NEA will facilitate the work of the NSC and provide operational and financial reports to the Bank as outlined in annex 3 and progress reports on results to-date toward achieving the PDO. In addition to the responsibility for the whole project as a counterpart in the grant agreement, the NEA's main responsibilities include maintaining the following roles: (a) procurement agent (ensuring that the selection processes and contracts are managed in accordance with the Bank's rules and procedures); (b) financial manager (ensuring that the DGM funds are used appropriately and that financial reports, financial planning, and accounting are carried out in accordance with the Bank's procedures); and (c) treasury agent (controlling the money flows to allow remote activities to be financed while mitigating the risks).

In addition, the NEA with the support of the NSC Executive Office will ensure timely implementation of all project activities; monitor project activities and related indicators; maintain documentation on the DGM projects and prepare progress and financial reports; ensure that the Bank's safeguard policies triggered under the project are observed and complied with; and coordinate and provide information for the GEA. The NEA will begin operations after project effectiveness. A grant agreement will be signed by the NEA and the Bank to administer the grant scheme. For the microprojects, subsequent grant agreements will be signed by the NEA and the subgrantees. Technical assistance, safeguard field controls, and the recurrent work with communities for communication and feedback will be subcontracted under the supervision and responsibility of the NEA.

The main selection criteria will be (a) fiduciary capacity and (b) presence in all the project areas.

To complement the NEA, the REPALEF will be contracted by the NEA for maintaining communications and technical dialogue with stakeholders; managing redress processes for grievances, complaints, and feedback; and creating a sustainable mechanism for information flows from Kinshasa to the villages and back that will allow the communities to report their level of satisfaction on a regular basis. Since the REPALEF is already the most important national network echoing the IPs' concerns, it was indeed decided during preparation to strengthen it and rely on its existing network rather than to create a duplicate network that would be project specific.

The FGRM and complaints procedures. A GRM will be established and further detailed in the PIM. These mechanisms and procedures will ensure that all complaints received from the IPLC and other interested stakeholders related to a grant award decision, representation in the NSC or GSC, or the governance of the program will (a) have a properly written record; (b) receive timely resolution of issues; and (c) be publicly reported. Regardless of the nature of the grievance, the DGM will ensure that a transparent, timely, and fair process is adopted to address each complaint.

Three channels will be used for feedback: (a) a website will offer the possibility to leave comments (informal) as well as formal emails that will be recorded; (b) letters will be accepted at a special post office box dedicated to receiving grievances; and (c) regular and direct discussions with the various actors of the project chain of feedback will lead to documented reports. The first two channels will

be maintained by the REPALEF at the national level. The former channel will be built on various layers—traditional leaders will be informed of their role to report any complaint they hear and elected key stakeholders from the Local Monitoring Committee will also be well-identified entry points as they are the local contact for the project and have been chosen by the communities themselves as their trusted representatives. The delegate to the NSC may also be the initial point of contact for all grievances from his particular ‘territory’.

The Provincial Focal Points from the REPALEF will visit large portions of each territory every three months with a predictable and public schedule and will ensure that the project is well implemented. They will collect feedback on the microprojects (if any) up to nine months after the completion of the microproject. Based on the complaints received by the various local players (traditional chiefs, Local Monitoring Committee members, or NSC delegate), they will record the grievances with their camera and give a receipt to the complainants with the date on it. The REPALEF Provincial Focal Point will transfer the information to the national level when no local mediation is possible.

Once a feedback or grievance is received at the national level (by email, letter, or video), the REPALEF will record all complaints received in a publicly accessible online system that will allow each case to be tracked and monitored. Complaints will be translated and published on the website within two months after collection with a response to the complainant, detailing the next steps to be taken, including transfer to a higher authority when appropriate. The responses will be provided through a short video-recorded speech in the same language and in writing in French and both will be provided through the same channel within two additional months. The complainant will acknowledge receipt of the response.

Offering various channels for feedback provision (NSC delegates and REPALEF Provincial Focal Point in addition to emails) will make sure that the complainant will have multiple alternatives if the complaint targets one of those actors.

The abovementioned FGRM is without prejudice to any additional mechanism established by the Bank to address related issues of damages and/or jurisdiction of any other national authorities as the case may be. More details will be provided in the PIM.

Implementation period and administrative costs. The proposed project will be implemented over a period of six years (FY15–21). The Bank’s administrative costs for project preparation and implementation support will be financed from the reserve fund under the FIP and in accordance with CIF benchmarks for project preparation and implementation support.

## B. Results Monitoring and Evaluation

The progress and success of the project will be measured against the indicators shown in the results framework.

The major innovation of this project is to include a built-in system to balance the monitoring and evaluation (M&E) reporting from the NEA by using the IPLC networks to collect and report directly to the NSC on beneficiary satisfaction with the activities. According to this arrangement, the NSC will complement the activity reports from the NEA (especially completion reports) with the qualitative M&E reports from the REPALEF that will focus on beneficiary satisfaction. This

arrangement will detect any implementation difficulties such as not providing materials at the right time/season, not purchasing the relevant quantities, not complying with the expected quality and technical specifications, or any other aspects. This continuous feedback on the project activities will help the NEA, the NSC, and other stakeholders identify areas where corrections/readjustments may be necessary and more broadly serve as a demand-side accountability loop.

In addition, giving a mandate to the beneficiary organizations to report on the project will both support (a) the capacity building and political representativeness and (b) the ownership of the intervention, leading to higher accountability and willingness to contribute to information gathering and results dissemination. Since one of the objectives of the project is to support the channeling of IPLC concerns from the field to Kinshasa, this arrangement will directly contribute to the project objective.

Continuous feedback will be provided through two channels.

□ A sample group of key IPLC actors will be defined at the beginning of the project. It will include (i) the members of the Local Monitoring Committee in each territory, the delegates to the NSC, and their alternates (that is, a total of about 80 people from the provinces) and (ii) about 30 key IPLC leaders at the national level or from other areas. This group of key opinion leaders will be referred as the ‘DGM stakeholders’.

□ The REPALEF Provincial Focal Points will have a regular and scheduled visit in each territory every three months to monitor satisfaction and progress toward the achievement of intermediate and long-term results. They will monitor the impact of microprojects up to nine months after their technical completion.

The REPALEF will detail the M&E staffing arrangements in their contract. Data collection will be part of the recurrent work of the Provincial Focal Point with community leaders. Reporting tools and indicators have been deliberately simplified and broken down into a small amount of values to collect, so as to be adapted to the current capacity at the provincial level.

An independent expert will be hired at the project midterm review and closing to evaluate any part of the project to assess the progress, check if the individual components have reached their goals, and propose improvements based on lessons learned. The expert’s final evaluation will assess, among other issues, the achievement of outcomes and the sustainability of results.

Annual M&E results will be shared among beneficiaries. During this time, it is expected that the grievance mechanisms will be triggered to include the concerns and opinions of beneficiaries throughout project implementation.

### C. Sustainability

The sustainability of the project has to be considered following the twin objectives in the PDO—the sustainability of the local investments (Component 2) and the sustainability of the representativeness scheme (Subcomponent 1b and Component 3). The project places particular emphasis on the processes as they are the most intangible result of the project but at the same time they are also the most sustainable part. During the duration of the project, new IPLC leaders will be identified and supported. The objective of the project is to set good governance standards such as promoted

participation, inclusive and effective conflict resolution to strengthen community ownership of natural resource management, citizen management, and social accountability for the years following the project.

#### Sustainability of the Representativeness Arrangements

The long-term objective of the project is to support the creation of a representativeness arrangement that will strengthen the connection between the LCs and the national networks that are actively promoting the IPLC agenda. To be sustainable, such a system should be mostly self-sufficient, which means (in order of importance) that it should have minimal costs, have those minimal costs mostly covered by members' subscriptions, and identify external sources of funding for any remaining gap.

□ Reduce cost. The current scheme has been conceived as a decentralized network that should be able to work based on the existing subnetworks at the provincial level. While the capacity at the provincial (and territorial) levels is still low in the beginning, the project activities will increase the autonomy of the local leaders to create trustworthy and experienced leaders in the rural areas that can function without the need for costly missions from Kinshasa. The second initiative in this project was to drastically reduce per diem and mission allowances to align with the real cost of living in rural areas. To promote a culture of volunteering within civil society and avoid creating 'quasi-salary' expectations, mission allowances have been reduced by between 50 and 90 percent compared with similar projects implemented by the government. Such a reform also changes the dynamics as the counterparts (NSC members) are more demanding on quality as their personal financial benefit is lower.

□ Work on membership subscription. The simultaneous development of revenue-generating activities and IPLC local organizations (Subcomponents 1b and 2a) could lead to a small share of the revenue being allocated to the local representativeness and by extension to the national representativeness. The integration of the revenue-generating activities with those of the CSOs mandated to represent the IPLC at the territorial level (and how those investments can support the local CSO network to protect the IPLC) will also be one of the points checked when assessing the quality of the subprojects since those subprojects are a way to support the sustainability of the IPLC representativeness system.

□ Identify new sources of funding. Depending on the province, initiatives supporting natural resource management and rural development may be solicited. The Forest Carbon Partnership Facility (FCPF) Carbon Fund Emission Reduction Program in Bandundu as well as the European Union (through their project with the FPP) are two of the potential partnerships that can be built. Those potential sources of funding should be taken with precaution as they would postpone achieving sustainability; however, they are a potential temporary solution.

#### Sustainability of the Local Investments

Local investments under Subcomponent 2a will be screened by the NEA and sustainability is one of the criteria for recommending the investment to the NSC. Sustainability will depend on many factors, including (a) community engagement and ownership of the idea; (b) quality of local investments; (c) strengthened capacity of local actors; (d) effective participation of women in the process and implementation; and (e) social cohesion and effective resolution of local conflicts. To

ensure that activities are continued and benefits are sustained beyond the time frame of this project, one of its innovative aspects is the full involvement of key stakeholders and main beneficiaries in its highly participatory preparation process and in its governance arrangements.

In addition, the purpose of Subcomponent 2b (formal recognition of user rights) is the legal recognition of IPLC rights and making them enforceable by the justice courts.

## VI. Safeguard Policies (including public consultation)

<b>Safeguard Policies Triggered by the Project</b>	<b>Yes</b>	<b>No</b>
Environmental Assessment OP/BP 4.01	<b>x</b>	
Natural Habitats OP/BP 4.04	<b>x</b>	
Forests OP/BP 4.36	<b>x</b>	
Pest Management OP 4.09		<b>x</b>
Physical Cultural Resources OP/BP 4.11	<b>x</b>	
Indigenous Peoples OP/BP 4.10	<b>x</b>	
Involuntary Resettlement OP/BP 4.12	<b>x</b>	
Safety of Dams OP/BP 4.37		<b>x</b>
Projects on International Waterways OP/BP 7.50		<b>x</b>
Projects in Disputed Areas OP/BP 7.60		<b>x</b>

**Comments (optional)**

## VII. Contact point

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