

*DEMOCRATIC REPUBLIC OF THE CONGO*

*MINISTRY FOR THE ENVIRONMENT, NATURE CONSERVATION AND TOURISM*

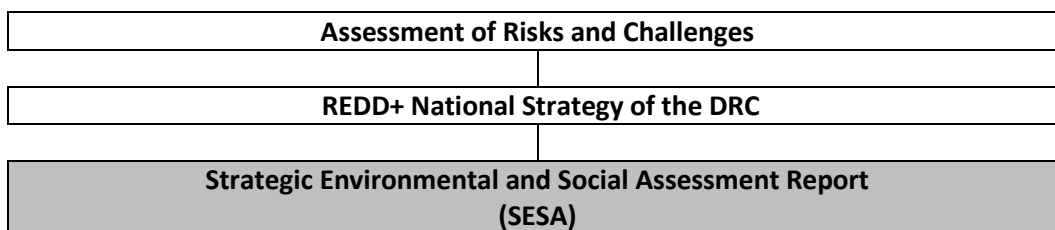
**STRATEGIC ENVIRONMENTAL AND SOCIAL ASSESSMENT OF THE REDD+  
PROCESS**

**BASELINE REPORT  
STRATEGIC ENVIRONMENTAL AND SOCIAL ASSESSMENT OF THE REDD+  
PROCESS**

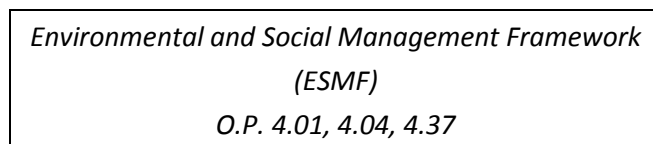
**STRATEGIC ENVIRONMENTAL AND SOCIAL ASSESSMENT  
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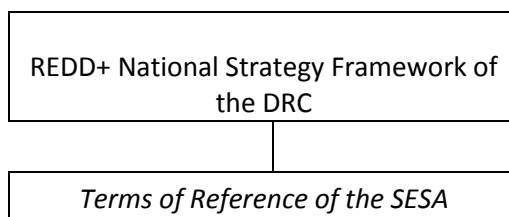
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## INTRODUCTORY NOTE

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The current environmental and social analysis report for the REDD+ process in the DRC is the result of a long consultation process with different stakeholders. Three levels of stakeholders involved in REDD+ were identified and consulted within the framework of the mission of the Strategic Environmental and Social Assessment (EESS or SESA) of the REDD+ process in the DRC. They are:

The first layer: the people directly involved in the process of the REDD+ Readiness Strategy: the NC-REDD, the Thematic Coordination (the TC), the Monitoring Committee for environmental and social risks (the MC), pilot project NGOs, etc.). This first layer is active in the strategic analysis and in integrating the results into the SESA process. The civil society and the representatives from indigenous and local communities also participated in the TC and the Monitoring Committee. More than three hundred of the stakeholders' representatives were consulted during a period of over three weeks at the Centre Caritas Congo in March and April 2012 in order to develop Version 0 of the REDD+ National Strategy Framework with an initial Social and Environmental Analysis (first layer).

The second layer: The second layer is made up of stakeholders who did not participate "directly" in the development of the National Strategy Framework, but who must play a determining role in the implementation of it. They are generally, key sector ministries, REDD+ project managers and technical or financial partners. Broader two stakeholder consultations with other actors, of which civil society and representatives of indigenous peoples, including all the REDD+ Provincial Focal Points linked to NC-REDD, were organized over the course of one week (24 to 28 June 2013) at Kinshasa for the purposes of presenting the improved versions of the drafted SESA frameworks and obtaining their opinions and views on improving them.

The third layer: It is made up of potential beneficiaries of the positive effects of REDD+ or the potential victims of its undesirable effects. In September and October 2012, consultations were organized in six REDD+ pilot provinces in the DRC in order to present the first social and environmental analysis related to Version 0 of the REDD+ Strategy Framework and to request the opinion and consideration of the local and provincial stakeholders on the viable options proposed.

Finally, the participants of the second level recommended to the NC-REDD to organize consultations in all the provinces of the DRC in order to (i) present the improved versions of the SESA, (ii) present the main recommendations coming out of the second layer consultations, specifically concerning the decentralization of REDD+, benefit sharing mechanisms, complaint and redress mechanisms in the framework of REDD+, etc. These consultations were organized from November 2013 until January 2014 nationwide.

At each consultation level, indigenous peoples' organizations (indigenous Pygmy peoples in this case) participated extensively in the consultations through REPALF (the national network of indigenous peoples) and its member organizations, both in Kinshasa (national level) and in the Provinces. No consultation on the SESA process was held without representatives for Indigenous Peoples or their member organizations having been largely included. The attendance lists for these consultations are attached as an Annex to this framework for reference.

The results of all of the provincial consultations were analyzed and addressed by a smaller group representing all of the stakeholders of REDD+ in the DRC, including members of the civil society and the Indigenous Peoples, in February 2014 in order to validate, or not, the feedback.. The Terms of Reference and the different consultation reports are included as an Annex of this document.

## 1. PREFACE

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The acronym REDD stands for *Reduced Emissions from Deforestation and Forest Degradation*. It indicates an international mechanism **currently being developed** with the goal of combating climate change by reducing the emissions of greenhouse gas caused by deforestation and degradation of the forests in developing countries.

To compensate financially for the reduction of deforestation and forest degradation in developing tropical countries, two approaches are possible within the REDD+ framework: one based on carbon trading and one based on carbon funds. The carbon market itself comes from environmental and legal restrictions according to which global warming, caused by the presence of too much greenhouse gas in the atmosphere, must be combated with financial incentives to contribute to the reduction of greenhouse gas emissions. If some still refute the global warming thesis caused by human activities, a large consensus exists in the scientific community concerning the causal link between human activities and the warming observed. Atmospheric carbon has no boundaries and causes an effect felt all over the planet, thus the relevance of an international market for "carbon credits" or credits to reduce greenhouse gas emissions.

As with any market<sup>1</sup>, this system requires a supply and a demand to function normally. In the case of REDD+, these components are still in the initial phases. However, climate change has generated a large market. For the moment, in several at-risk countries, the carbon market most often involves expenditures to hire experts, various studies and planning for adapting to climate change. Thus the REDD+ process and the current study are themselves products of this new carbon market!

Even though the basic principles of REDD+ are well established, the vision of articulating its practice in different target countries seems to constantly change as much from the internationally charged instances of its management as from the national instances. These changes, even hesitations, are easily explained by the unprecedented political, technical, scientific and logistic challenges that REDD+ must face.

The entire REDD+ concept requires that countries that would like to adhere to it fully master what one may call "forest/carbon accounting" the forest itself being a source of capital that may be debited losses or credited gains in surface/carbon volume. Knowing that this capital is not in a bank account but a resource, accessible to all for generations, without real usage restrictions and utilizable according to rules that are often customary, one can easily comprehend the magnitude of the challenges related to establishing this compatibility.

As to the example of the market exchange, the African forest is in constant evolution, often barely predictable compared to that of managed boreal forest and the perpetual reforestation underway in countries where the forests have been managed for many centuries.

Thus the major challenges of REDD+ are:

- To ensure the compatibility of the "capital forest" according to the accounting rules imposed by international buyers, without these management costs surpassing probable revenues;
- To master an ancestral use of the forest that follows no known development rule and that is constantly subject to sudden and unforeseen changes, from sociopolitical national and regional circumstances, agricultural activity, exploitation of the mineral resources found there, etc.;
- To ensure that redistribution of part of the benefits from the " forest capital" credits goes to those who use the areas touched by "REDD+ reforms" according to rules yet to be determined: these rules must be "equitable" and permanent so that the protection of the forest is also permanent and so that funding continues. They shall apply as much to the government as to the private companies and/or non-profit organizations that will manage part of REDD+ investments;
- To ensure that the REDD+ investments do not have negative environmental and social effects as is especially the case in the exploitation of other natural resources, such as the exploitation of minerals, oil and forest and wildlife resources.

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<sup>1</sup>"A market is a mechanism through which buyers and sellers interact to set prices and exchange goods and services." Samuelson and Nordhaus, 16<sup>th</sup> edition, 1998, 2000, p. 27

In short, to become a REDD+ country, these challenges must be addressed in record time, which no Central African country has succeeded in doing since the creation of the REDD+ process! The challenges will be just as real for any developing country that still has freely accessible natural forests within its territory.

On the political level, the DRC endorses the principles that govern the REDD+ measures such as defined by the Cancun Agreements, and firstly, the principle of payment for results. In phase III of complete implementation, the REDD+ funds received by the country will thus be directly related to national performance in terms of reducing greenhouse gas emissions related to deforestation and forest degradation. This principle means establishing a sustainable cycle of funding and activities that reduce the pressure leading to deforestation and forest degradation to the short, medium and long term.

Additionally, the DRC is in the process of implementing a system that seeks to respond to the demands of the United Nations Convention on Climate Change from the COP16 held in Cancun, Mexico in 2010, related to the Social and Environmental Safeguards which are:

- The necessity to ensure that activities complement or are compatible with the objections of national forest programs and the pertinent international conventions and agreements;
- Transparent and effective national structures for forest governance in consideration of legislation and national sovereignty;
- Respect for the knowledge and the rights of Indigenous Peoples and members of local communities, in consideration of the pertinent international obligations and national legislation and situations, and stressing that the General Assembly of the United Nations has adopted the United Nations Declaration on the Rights of Indigenous Peoples;
- Integral and effective participation of the involved stakeholders; in particular, the Indigenous Peoples and the local communities;
- Measures that are compatible with the preservation of natural forests and biological diversity, ensuring that the REDD+ activities do not lead to a conversion of natural forests, but rather induce the protection and conservation of these forests and the services brought about by their ecosystems, as well as enhance other social and environmental advantages;
- Measures that take into account the risk of reversals;

Measures to reduce the displacement of emissions. To do this, REDD+ in the DRC's implementation strategy rests on seven "pillars": agriculture, energy, forest, government, spatial planning, property and demography. The strategic environmental and social assessment of REDD+ in the DRC thus examines the equivalent of an extremely ambitious national program of multi-sectoral development, seeking to completely transform the country in the space of several years.

Paradoxically the DRC and Central Africa in general, in the past twenty years, have average total rates of deforestation of 0.23%<sup>2</sup> among the lowest in Africa and Asia, compared to a worldwide average of 0.6%<sup>3</sup>. It is true that the loss of surface area in the DRC is higher than in other countries in the region of around 300,000 ha/year because of its size.

The DRC is a post-conflict country that is still extremely fragile, and whose resources are widely coveted. Traditional, ethnic and informal rules still displace modern legislative tools. Survival is the preoccupation of more than 80% of the population: the main causes of deforestation and forest degradation identified in the DRC are specifically agriculture and fuelwood<sup>4</sup>.

Thus, it is obvious that in such a context, the DRC is taking on a big challenge to put in place alternatives that efficiently respond to the identified factors of deforestation and forest degradation, by significantly contributing to the expectations of Congolese populations that urgently focus on concrete results, based specifically on improving their long-term subsistence means: equitable sharing of revenues between the stakeholders and rights holders on the national and local level, the respect of rights, specifically of rural and indigenous communities, the effective reduction of deforestation and degradation, the improvement of environmental services as well as the increase and preservation of biodiversity.

<sup>2</sup> Amount recognized by NC-REDD, OSFAC 2010

<sup>3</sup> Hansen: Humid tropical forest clearing from 2000 to 2005 quantified by using multi-temporal and multi-resolution remotely sensed data; July 2008

<sup>4</sup> FAO: qualitative and quantitative analysis of the main factors of deforestation and forest degradation in the DRC, July 2012

## 2. EXECUTIVE SUMMARY (PLACEHOLDER, AS THE ORIGINAL WAS IN FRENCH)

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REDD+ is unequivocally an interesting process for Africa, though implementing it is complex. The results of international negotiations are still not known and they seem to get bogged down because of the reluctance of many countries to commit to a binding system. Such a system would require greenhouse gas producers to either limit their production or compensate it (via a quota system or regulations). This would allow the system of carbon credits (carbon trading) to run on the principles of supply and demand, authorizing transactions between countries or between companies from different countries.

DRC has started a process of reflection and implementation of REDD+ instruments that will ultimately allow it to actively participate in this process. However, the process is complex and many of the elements to implement and define in REDD+, such as MRV, carbon accounting and environmental and social standards, remain a key challenge.

National efforts underway need to be encouraged in order to enable DRC to have a suitable system capable of meeting all these requirements at relatively affordable costs.

The National Framework Strategy, still needing to be refined, provides no disproportionate complication other than reducing the negative impacts of actions to be undertaken. Similar actions are already implemented in the country and the mitigation measures are known. In some cases, new techniques considered by REDD+ for development actions already incorporate mitigation measures. However, the Strategy needs to be refined with detailed field studies and harmonized with all existing or future sectoral policies. Without this important effort of policy integration and harmonization, REDD+ in DRC will have an uncertain future.

The main environmental and social issue of REDD+ is not to reduce the impacts of these actions, but to define and implement a process capable of ensuring that all environmental and social management requirements will be integrated in the different projects. At this stage of the process, the challenge is not technical but rather political, institutional and organizational.

DRC adopted in July 2011 the Law dealing with "Basic Principles for the Protection of the Environment" (Law 011/009) that defines the rules of the game on adaptation of sectoral policies to sustainable development and environmental management processes of projects and programs. This text is, at the time of writing this report, not yet in application in the absence of enforcement regulations. Approximately twenty pending decrees would allow the operationalization of this law, some of which have been just recently adopted on August 2014. REDD+ needs this regulatory and legal corpus for its inception; without it, it will have to establish its own rules, methods and inspection body for a transitional period. This does not really make sense to the extent that the Law must impose environmental restraint and management rules for all country ministries and investors.

The REDD+ design as such and how the government will implement it in the country also imply risks: some of them conceptual (outcome of international negotiations, types of projects), organizational (process management, carbon accounting, superposition of land uses), and operational (transaction costs, project monitoring, REDD+ investment protection, etc.).

The issues related to the implementation of a REDD+ strategy are many, including: improving the quality of life by reducing deforestation and forest degradation; compliance with national laws and international commitments; biodiversity conservation; and respect for the rights of local communities and Indigenous Peoples, their lands and their culture.

REDD+ would involve a number of legal, regulatory, institutional and structural reforms. It will be important to ensure that this process of sectoral reforms takes into account the environmental and social impacts. The SESA is a known way to get there. Without the SESA, the rules of the World Bank (Operational Policies) and the country itself may not be met and the reforms could have very significant negative impacts. To avoid delays and significant costs, the SESA must be internalized by the government. This involves a process of capacity building and institutional arrangements described in the ESMF and other safeguard instruments.

The REDD+ process does not bring more uncontrollable impacts than many existing projects in the country. Nevertheless, the risks related to REDD+ management processes are closely linked to the national capacity to implement an environmental and social management processes of large scope. This ability has not yet been demonstrated (e.g., the Pro-Route project funded by the World Bank). The country's capacity to ensure the environmental management of the REDD+ process remains a major challenge both for

the implementation of the REDD+ National Strategy and for this strategy to be recognized as following the DRC's international commitments and the safeguard policies of key technical and financial partners of the country.

The challenge is not to mitigate the impacts (because these are mostly known and foreseeable impacts) but to ensure that the organization responsible for managing REDD+ can provide a proper framework for the environmental and social management process and take the necessary decisions for its operation. The challenge is to ensure that, regardless of the financing of REDD+ projects, environmental and social standards are applied and that the process is documented and controlled. It is also necessary that the environmental and social performance of the projects is part of the project goals and tracking.

One of the main objectives of the SESA process is the strengthening of institutional arrangements and national capacities for managing environmental and social risks. The REDD + program would result in national coordination and improved risk management capabilities. The expected effects are reliability and improvement of environmental and social data, improved management of these risks, the national REDD+ strategy developed through a participatory approach and an institutional framework for coordination of strengthened policies and reforms.

At the level of forest and land governance there are several challenges, including in relation to the legislative context. For now, in the absence of coordination of policies on land use, the multiplication of uses (not always consistent) on the same land and the lack of harmonization across territories represent major challenges. The forest sector stakeholders deplore the lack of a common vision and the many conflicts that it generates. The main stakeholders in the forest sector have proposed the development of an action plan aiming to develop such vision. Issues raised include the juxtaposition of state structures, weak forest control, lack of capacity of local communities to participate in the negotiation of specifications, weak capacity of local and provincial administration, logging benefit sharing, non-involvement of local communities and Indigenous Peoples in decision-making, etc.

The results of the various consultations for the readiness of SESA have enriched not only the SESA specific frameworks, but also the vision of REDD+ National Strategy and some of its key implementation instruments, in the occurrence of the Ministerial Order determining the approval procedure for REDD+ projects. For the latter, guidelines and recommendations made through consultations under SESA enriched the review task of the decree by including specific items, including the definition of criteria for REDD+ projects and initiatives and the incorporation of communities as potential initiators and promoters of REDD+ projects.

Despite the highlighted challenges, efforts at national level in the readiness of REDD+ will never be in vain in that they will put the country on a trajectory of having the necessary instruments (policies and measures) to facilitate a sustainable management of its forest cover to promote balanced development, and of seeking and obtaining consistent support from its multi- and bilateral partners in this quest.

### **3. EXECUTIVE SUMMARY (ENGLISH VERSION)**

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REDD+ is unequivocally an interesting process for Africa, though implementing it is complex. The results of international negotiations are still not known and they seem to get bogged down because of the reluctance of many countries to commit to a binding system. Such a system would require greenhouse gas producers to either limit their production or compensate it (via a quota system or regulations). This would allow the system of carbon credits (carbon trading) to run on the principles of supply and demand, authorizing transactions between countries or between companies from different countries.

DRC has started a process of reflection and implementation of REDD+ instruments that will ultimately allow it to actively participate in this process. However, the process is complex and many of the elements to implement and define in REDD+, such as MRV, carbon accounting and environmental and social standards, remain a key challenge.

National efforts underway need to be encouraged in order to enable DRC to have a suitable system capable of meeting all these requirements at relatively affordable costs.

The National Framework Strategy, still needing to be refined, provides no disproportionate complication other than reducing the negative impacts of actions to be undertaken. Similar actions are already implemented in the country and the mitigation measures are known. In some cases, new techniques considered by REDD+ for development actions already incorporate mitigation measures. However, the Strategy needs to be refined with detailed field studies and harmonized with all existing or future sectoral policies. Without this important effort of policy integration and harmonization, REDD+ in DRC will have an uncertain future.

The main environmental and social issue of REDD+ is not to reduce the impacts of these actions, but to define and implement a process capable of ensuring that all environmental and social management requirements will be integrated in the different projects. At this stage of the process, the challenge is not technical but rather political, institutional and organizational.

DRC adopted in July 2011 the Law dealing with "Basic Principles for the Protection of the Environment" (Law 011/009) that defines the rules of the game on adaptation of sectoral policies to sustainable development and environmental management processes of projects and programs. This text is, at the time of writing this report, not yet in application in the absence of enforcement regulations. Approximately twenty pending decrees would allow the operationalization of this law, some of which have been just recently adopted on August 2014. REDD+ needs this regulatory and legal corpus for its inception; without it, it will have to establish its own rules, methods and inspection body for a transitional period. This does not really make sense to the extent that the Law must impose environmental restraint and management rules for all country ministries and investors.

The REDD+ design as such and how the government will implement it in the country also imply risks: some of them conceptual (outcome of international negotiations, types of projects), organizational (process management, carbon accounting, superposition of land uses), and operational (transaction costs, project monitoring, REDD+ investment protection, etc.).

The issues related to the implementation of a REDD+ strategy are many, including: improving the quality of life by reducing deforestation and forest degradation; compliance with national laws and international commitments; biodiversity conservation; and respect for the rights of local communities and Indigenous Peoples, their lands and their culture.

REDD+ would involve a number of legal, regulatory, institutional and structural reforms. It will be important to ensure that this process of sectoral reforms takes into account the environmental and social impacts. The SESA is a known way to get there. Without the SESA, the rules of the World Bank (Operational Policies) and the country itself may not be met and the reforms could have very significant negative impacts. To avoid delays and significant costs, the SESA must be internalized by the government. This involves a process of capacity building and institutional arrangements described in the ESMF and other safeguard instruments.

The REDD+ process does not bring more uncontrollable impacts than many existing projects in the country. Nevertheless, the risks related to REDD+ management processes are closely linked to the national capacity to implement an environmental and social management processes of large scope. This ability has not been demonstrated (e.g., the Pro-Road project funded by the World Bank). The country's capacity to ensure the environmental management of the REDD+ process remains a major challenge both for the implementation of the National Strategy REDD+ and for this strategy to be recognized as following DRC international commitments and safeguard policies of key technical and financial country partners.

The challenge is not to mitigate the impacts (because these are mostly known and foreseeable impacts) but to ensure that the organization responsible for managing REDD+ can properly oversee the environmental and social management process and take the necessary decisions for its operation. The challenge is to ensure that, regardless of the financing of REDD+ projects, environmental and social standards are applied and that the process is documented and controlled. It is also necessary that the environmental and social performance of the projects is part of the project goals and tracking.

One of the main objectives of the SESA process is the strengthening of institutional arrangements and national capacities for managing environmental and social risks. The REDD+ program would result in national coordination and improved risk management capabilities. The expected effects are reliability and improvement of environmental and social data, improved management of these risks, the national REDD+ strategy developed through a participatory approach and the institutional framework for policies and reforms coordination strengthened.

At the level of forest and land governance there are several challenges, including in relation to the legislative context. For now, in the absence of coordination of policies on land use, the multiplication of uses (not always consistent) on the same land and the lack of harmonization across territories represent major challenges. The forest sector stakeholders deplore the lack of a common vision and the many conflicts that it generates. The main stakeholders in the forest sector have proposed the development of an action plan aiming to develop such vision. Issues raised include the juxtaposition of state structures, weak forest control, lack of capacity of local communities to participate in the negotiation of social specifications, low capacity of local and provincial administration, logging benefit sharing, non-involvement of local communities and Indigenous Peoples in decision-making, etc.

The results of the various consultations for the SESA preparation have enriched not only the SESA specific frameworks, but also the national REDD+ strategy vision and some of its key implementation instruments, in the occurrence of the Ministerial Order determining the approval procedure for REDD+ projects. For the latter, guidelines and recommendations made through consultations under SESA enriched the review task of the Ministerial Order by including specific items, including the definition of criteria for REDD+ projects and initiatives and the incorporation of communities as potential initiators and promoters of REDD+ projects.



Despite the highlighted challenges, efforts at national level in preparation for REDD+ will never be in vain in that they will put the country on a trajectory of having the necessary instruments (policies and measures) to promote its forest cover sustainable management and of seeking and obtaining consistent support from its multi- and bilateral partners in this quest.

## 4. INTRODUCTION

REDD+ is a financing mechanism in which the DRC is firmly committed since 2009 that has the objectives to:

- contribute to the reduction of greenhouse gas emissions,
- reduce poverty
- sustainably manage its forest resources, taking into account the improvement of environmental services.

The REDD+ Strategy of the DRC is an extension of the strategic planning instruments of the country for the medium term. It is included in the guidelines of the second Document on the Strategy for Growth and Poverty Reduction (DSCR 2, 2012–2016), and in the Government Action Program for the same period. It lays out the specifications set by the Government of the DRC in the domains of forest, environment and climate, and solidifies the cross-sector ramifications in the primary and related sectors, such as agriculture, energy and land affairs, etc. The DSCR 2 established, among its 5 pillars, a new pillar: "Environment and Climate Change."

This mechanism aims to propose a new work framework in order to reverse its historical trend of forest loss and, consequently, to be financially compensated for this reduction.

In respect of these objectives, it is important that a strategic environmental and social assessment of the process is undertaken to ensure that the future investments in REDD go towards sustainable development.

The SESA objective defined in the Terms of Reference is given as follows: "The overall objective of the SESA is to identify opportunities, to improve the new environmental and social conditions that might arise from the implementation of the REDD+ process in the DRC, to identify alternatives to possible negative social and environmental impacts of the implementation of the REDD process, to put in place a framework for social and environmental management to implement the REDD National Strategy."

Apart from this, the SESA should produce a group of framework documents that will allow programs and projects that arise from the strategy to comply with national regulations regarding environmental and social management and the safeguard policies of the World Bank group involved in the financing of programs and projects related to the REDD+ process.

## 5. BRIEF REVIEW OF THE REDD+ CONCEPT AND ITS PRINCIPLES

### 5.1. ORIGIN OF THE REDD+ CONCEPT

The acronym REDD stands for *Reduced Emissions from Deforestation and Forest Degradation*. It indicates an international mechanism currently being developed with the goal of combating climate change by reducing the emissions of greenhouse gas caused by deforestation and degradation of the forests in developing countries.

In 2005 in Montreal, at the COP 11, an important step was taken when Papua New Guinea and Costa Rica — supported by eight other Country Party Members — proposed a mechanism to reduce emissions related to deforestation (RED) in developing countries. The proposition received great support from the Parties and the COP established a contact group. Following this, a two-year process was initiated to explore options for a RED mechanism and the subsequent introduction of the preoccupation related to forest degradation resulted in the acronym REDD at the conference in Bali in 2007. During this period, a large number of Parties and observers submitted propositions and recommendations to the Subsidiary Body on Scientific and Technical Advice (SBSTA) with a view to reducing greenhouse gas (GHG) emissions related to deforestation and forest degradation (REDD).

More recently, the addition of the activities of conservation, sustainable forest management and the increase of forest carbon stocks resulted in the acronym REDD+. REDD+ was thus officially launched in 2010 at the Conference in Cancun. The Democratic Republic of the Congo seeks to implement this mechanism at a national level.

## 5.2. REDD+ AND CLIMATE CHANGE

As mentioned above, REDD+ is a mechanism first conceived to combat climate change caused by the increase in greenhouse gas (GHG) emissions in the atmosphere. This increase is largely a result of human activities. The responsibility for worldwide GHG emission belongs, in large part, to developed countries in Europe and North America: it is these countries that, for the last 150 years, released into the atmosphere the majority of GHG through their industrial, agriculture and forest activities, among others. The main GHG released in to the atmosphere are carbon dioxide or carbonic gas (CO<sub>2</sub>), methane (CH<sub>4</sub>), nitrous oxide (N<sub>2</sub>O) and fluorinated gases; the one targeted by REDD+ is essentially carbonic gas.

## 5.3. THE ROLE OF FORESTS IN THE COMBAT AGAINST CLIMATE CHANGE

Forests are often called "carbon sinks" because they capture carbon from the atmosphere through plant photosynthesis, thus diminishing the concentration of carbon dioxide in the atmosphere.

These forests largely contribute to balancing greenhouse gas concentration in the atmosphere. In addition, the world's forests (vegetation and soil) contain more than 45% of terrestrial carbon.

Thus forests are crucial ecosystems for climate regulation: their disappearance causes the release of the carbon that they hold captive and have an immense impact on climate change<sup>5</sup>.

Moreover, tropical forests like those found in the DRC are particularly important for carbon sequestration. Because of their favorable conditions, they contain lush vegetation that sequesters up to 50% more carbon per hectare than temperate or boreal forests.

Long limited to the preservation of biodiversity, the fight against tropical deforestation has been elevated to the level of priority in the global strategy of reducing climate change, once it was realized that greenhouse gas emissions from changes in land use represent nearly a quarter of the total anthropogenic emissions, the majority of which come from deforestation and forest degradation in developing countries, two phenomena not covered by the Kyoto Protocol (1997).

A mechanism aiming to compensate developing countries that restore, maintain or increase their forest carbon stocks in order to reduce these emissions and participate in the worldwide effort to reduce climate change has been the object of negotiations since 2005 within the United Nations Climate Convention. Its scope has progressively expanded from reducing emissions resulting from deforestation (RED) to those linked to forest degradation (REDD) to the inclusion in 2007 of the role of conservation and sustainable forest management and the increase in forest carbon stocks (REDD+), especially driven by countries like the DRC with high forest cover but a low rate of deforestation.

The Cancun Agreements (2010) opened the path to national implementation of REDD+ by inevitably overlapping phases (strategy, political and initiative formulation; implementation with demonstration activities; payments based on results within an operational MRV system). Technical advances have since been recognized, especially in safeguards and reference levels. On this matter, the DRC has expressed to the Central African Forest Commission (COMIFAC) since 2009 the necessity to take into account development needs in the definition of the reference scenario so as to not be penalized compared with countries where forest transition is already well underway (high historical deforestation).

## 5.4. DEFORESTATION AND CLIMATE CHANGE

The process of carbon sequestration in the forest is reversed by cutting, burns and the degradation that leads to the death of trees and their decomposition: thus the sequestered carbon is released into the atmosphere. Moreover, converting forests into agricultural land releases the carbon contained in the soil.

Around 13 million hectares of forests are razed each year in the world. The annual GHG emission caused by this deforestation and other types of land use changes represent around **15%** of the worldwide greenhouse gas emissions, more than the

<sup>5</sup><http://www.grida.no/publications/vg/climate/page/3066.aspx>



transportation industry. Forest degradation can no longer be ignored: even though it is more difficult to quantify than the pure and simple loss of a forest, it is responsible for at least 20% of GHG forestry emissions. On the global level, the carbon stored in the forest biomass has decreased by around 0.5 Gt each year over the 2005–2010 period, essentially because of the dwindling of worldwide forest cover.<sup>6</sup> Figure 1 below shows the change in forest carbon stocks between 1990 and 2010.

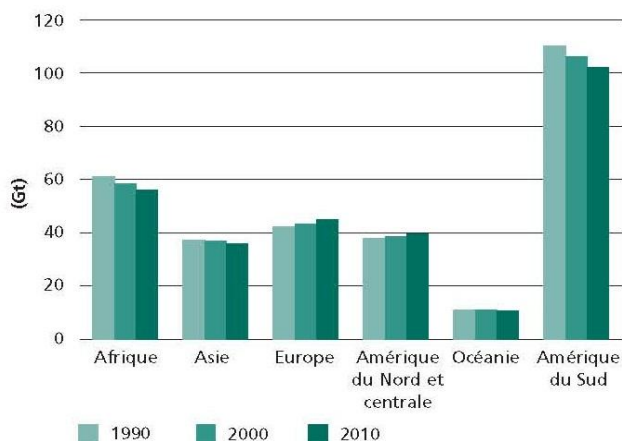


Figure 1. Trend in Forest Carbon Stocks, 1990–2010

## 5.5. FORESTED COUNTRIES: LARGE GHG EMITTERS

Because of the deforestation that is prevalent within their territories, forested countries such as the DRC are now not-insignificant GHG emitters and also contribute to climate change.

However, a fundamental difference exists between the emissions of industrialized countries and those from countries like the DRC: while industrialized country emissions are caused by their high development level, the emissions from the DRC are mostly caused by the poverty that is prevalent in the country: the forests are gradually being converted for subsistence agriculture and the production of domestic wood-fuel energy.

According to estimates from all sources, deforestation, namely the suppression of forests and the change in land use for other uses, such as agriculture, is responsible for 15 to 20% of greenhouse gas emissions in the world. The level of deforestation is higher in wet tropical regions, although they vary considerably from one region to another. According to the most recent estimates, nearly half of the deforestation in tropical regions between 2000 and 2005 concerns Brazil, while in tropical Africa, the DRC has the fifth highest deforestation rate in the world.

<sup>6</sup> FAO, Global Forest Resource Assessment 2010. See <http://foris.fao.org/static/data/fra2010/KeyFindings-fr.pdf>

## 5.6. THE REDD+ MECHANISM: AN INSTRUMENT ADAPTED TO DEVELOPING COUNTRIES

The REDD+ mechanism was specifically devised to take into account the fundamental differences between the emissions from developed countries and those from forested countries like the DRC: while developed countries can attempt to manage their economic growth to reduce their GHG emissions, the DRC cannot slow its progress to the detriment of its development. That is why the REDD+ was conceived as an aid mechanism for forested countries by which developed countries would finance the protection of the forests through financial incentives.

### BOX 1: THE GOVERNMENT OF THE DRC'S VISION REGARDING REDD+

REDD+ shall be implemented through political, program and project activities that aim to reduce and manage the direct and underlying causes of deforestation and forest degradation while creating and sharing the prosperity in a sustainable way. Rather than creating income, it encourages investments in economically viable, socially equitable and ecologically responsible business models.

The framework strategy anchors REDD+ to the center of the national development strategy, but also lays a framework and the operational instruments to guide and stimulate the entirety of the DRC's productive sectors towards the green economy, as well as introducing a virtuous cycle and releasing leverage effects.

To measure its true scope in the country, the capacity of the national REDD+ process must be evaluated to "converge" the different sources of traditional investments toward objectives compatible with REDD+ and the principles of green development. The National REDD+ Fund will play a central role to show the credibility of coordination and supplying spillover effects.

With a size of 2.35 km<sup>2</sup>, more than 66% of it covered by forest, the DRC is the second tropical rainforest country in the world. Well aware of the historic challenge that global warming poses on peace, development and human well-being, both on the global as well as the national and local level, the DRC also believes that it possesses, through its forested space, major leverage in the reduction of and regional and global adaptation to climate change.

International partnership is essential in preserving the Congolese forest. Because of the historical responsibility in climatic disruptions, and because of the financial capacity far superior to that of the international community and of developed countries in particular, the Congolese commitments cannot produce the expected results without their progressive, massive, predictable and coordinated financial support, and without global reforms to accompany the transformation efforts of the DRC and other REDD+ countries.

In the Democratic Republic of the Congo, REDD+ cannot be enforced without being closely associated with economic growth and human and social development. Moreover, the invaluable and renewable services provided by the forest supports the conviction that within the framework of its development, the Democratic Republic of the Congo can and should preserve an expansive forest necessary to safeguard the ecological integrity, the services provided by the forest and the multi-functionality of the natural spaces of the sub-region.

Reconciling the preservation of the Congolese forest, the economic growth and development of the Congolese people is not only possible and desirable, it is certainly the only viable path for the long term. Implementing this vision involves an historic, courageous change of trajectory, positioning the DRC as a visionary leader in sustainable development on the global level. It rests on a systematic approach that tackles, in a multi-sectoral and integrated way, the direct and underlying causes of deforestation and degradation. This assumes in the case of the DRC the essential enlargement of REDD+ in the many areas of development, its social and institutional dimensions, the coherent and coordinated mobilization of different economic sectors, etc.

## 5.7. UNDERLYING PRINCIPLES OF REDD+

A certain number of principles underline the REDD+ mechanisms' existence. The first among them is that to protect the forests in an efficient manner, they must be bestowed an economic value greater than the advantages gained by deforestation.

For this to happen, the forested countries must be compensated for measurable reductions in their deforestation rate, compared to an historic reference level. These measurable reductions then generate credits exchangeable on the carbon market, credits that represent a financial incentive for the protection of the forest. Finally, as a result, if a forested country increases its emissions related to deforestation after having profited from exchangeable credits, it commits to reducing them afterwards in order to respect its commitments.

## 5.8. STATUS OF INTERNATIONAL NEGOTIATIONS

There are a number of uncertainties regarding the future of the REDD+ mechanism. The most important is that the international negotiations that lead to it being accepted globally have not yet been completed. From that, comes numerous uncertainties related to the exact form that the REDD+ mechanism will take when it is truly launched. In fact, many program structure propositions are still on the negotiation table.

Four main areas were discussed at the last climate negotiations in Durban in 2011: funding, safeguards, reference levels and the monitoring, report and verification (MRV) system of the carbon emissions caused by forest activities. According to certain observers, some progress regarding safeguards, reference levels and MRV was achieved in the negotiations, while a fragmented decision regarding REDD+ financing was not obtained until after long deliberations. Because of the delay in reaching a solid decision regarding long-term financing, these same observers think that the negotiations did not help to reduce the uncertainties around REDD+ markets. Few observers expect to see a carbon market from REDD+ emerge before 2020<sup>7</sup>.

The financing related to the functioning of the market for REDD+ to create: How will the market be created? Many think a viable market is only possible if a strong demand is created by renewing the binding objective of reducing GHG emissions for developed countries and the BRIC countries, which emit large amounts of GHG.

Where will the funds be deposited? What is the level of emissions reduction that we hope to achieve? All of these questions remain to be answered.

Reference level refers to the technical calculations of GHG emissions from "baseline" deforestation: the level of deforestation that can be expected without implementing REDD.

The acronym MRV (widely used) refers to a system of monitoring, reporting and verification: such a system seeks to monitor the change in deforestation in a given country over time. It should be noted that the first period of commitment from Kyoto excluded forest conservation and the deforestation was prevented, due to the major preoccupation related to the considerable deployment efforts for surveillance. The international community hopes that the development of solid MRV systems will resolve this problem.

Environmental and social safeguards make reference to technical discussions on directives concerning the establishment of reports on social, environmental and governance safeguards that encompass the proper implementation of REDD+ activities. This formula regarding the way that REDD countries must realize these safeguards is still in a developmental stage and does not allow for their enforcement on the ground.

It is these safeguards that are the essential part addressed within the framework of the current study.

<sup>7</sup><http://blog.cifor.org/6583/des-negociations-de-durban-a-la-fois-positives-et-negatives-pour-la-redd/#.Ulr5i8V5fwA>

## 6. THE STATE OF THE FORESTS AND DEFORESTATION AND FOREST DEGRADATION ACTIVITIES IN THE DRC

This section looks at the condition of the forest, deforestation and forest degradation in the country. Rather than an exhaustive study of the environment, it essentially elucidates the state of the elements of the environment that are the most sensitive and susceptible to be changed by REDD+. It also looks at the relationship of the local communities with different types of forest management.

The data related to the changes in the DRC's forest cover within the framework of two initiatives<sup>8</sup> according to different but complementary and coherent methodologies, covering the period of 1990–2010. They concern a forest cover of 155 million hectares. Tallying their results shows a net average annual rate of deforestation of 0.22% combined over the period of 2000–2005. The data from the FACET (Monitoring the Central African Forest by Remote Sensing) study calculated an average annual rate of deforestation of 0.25% for the period of 2005–2010. The deforestation rate of 0.12% is significant in relation to other tropical forest basins, which lead countries in the Congo Basin to push for the inclusion of degradation in the REDD mechanism during international negotiations<sup>9</sup>.

These data, reported from the period of 1990–2000, presents, on one hand, the redoubling of deforestation and forest degradation intensity, which underscores the geographic coincidence of these two phenomena, and on the other, their movement from easy access zones to more remote areas. According to FACET data, the intensity of deforestation has increased since 2005, which coincides (as well as correlates) with the increased contribution, during the same period, of agricultural activities with the increase in the Congo's GDP.

According to FACET data, deforestation has surpassed an annual average of 350,000 ha over the period from 2000–2005 (an additional half of the area during the same time was affected by degradation) to 400,000 ha over the period of 2005–2010. Deforestation is more intense in secondary forests than in primary forests, but the pressure on the latter has increased since 2005 in the sense of an equalization of the areas lost compared with secondary forests, confirming the hypothesis of deforestation moving towards areas that were until then unexploited.

The FACET data also show over the 2000–2005–2010 period on forest areas throughout the provinces, logging concessions and Protected Areas.

- The key finding for the Provinces is that those that experience the highest level of deforestation are not those with the most forest cover, but those that are close to urban centers.
- Though the UCL's quantitative report shows that there is no correlation between industrial exploitation and deforestation, by contrast there is a deforestation level that is higher in the logging concessions coming a priori from the expansion of agricultural activities by the local communities, facilitated by the opening of roads.
- The deforestation rate is less in protected Areas than on the national level, possibly because they are more remote and especially less populated (due to the difference in concessions that allow for infrastructure).

This historical trend in the change of forest cover is stamped upon the entirety of the DRC's Congo Basin because of the relative largeness of its forest cover. The DRC's rate of deforestation and degradation remains largely superior to other COMIFAC (Central African Forest Commission) member countries, which is due to its large population. The deforestation hotspots are principally located on the periphery of high population density areas.

This section of the report is an adaptation of the state of things from the strategic environmental assessment of PNFCo (the Congolese Forest and Environment Sector Project), updated as far as possible, with recent bibliographical data. According to consultants' observations, the baseline state described in the 2008 document mainly reflects a situation that still prevails today. The references made to other documents and new cartographic representations seek to complete the portrait with more recent data.

<sup>8</sup> The two initiatives were undertaken respectively by the Université Catholique de Louvain (UCL) in collaboration with the European Commission Joint Research Centre (JRC) as well as Forêts d'Afrique Centrale Évaluées par Télédétection (FACET) (Monitoring the Central African Forest by Remote Sensing) in collaboration with OSFAC (observation by satellite of the Central African forests).

<sup>9</sup> État des Forêts du Bassin du Congo, édition 2010, COMIFAC, 2012.



### 6.1. GENERAL DESCRIPTION

Located in the center of the African continent, the Democratic Republic of the Congo covers a vast territory of 2,345,000 km<sup>2</sup>, stretching between the 5th Parallel North (5°20') and the 13th Parallel South (13°27') and the 12th (12°15') to the 31<sup>st</sup> degree (31°15') east longitude. The countries that share its 9,165 km border are:

- to the north, the Central African Republic and Sudan;
- to the south, Zambia and Angola
- to the east, Uganda, Rwanda, Burundi, Tanzania and Zambia
- to the west, the Republic of the Congo, Cabinda Province and a narrow coastal strip (40 km) of the South Atlantic.

Its size places the DRC third in Africa, after Algeria and Sudan. As to its regional location, the DRC is situated in Central Africa and is part of the Congo and Nile Basins. Geographically, nearly all of this vast Congolese territory is an immense depression, the vestige of an ancient subsidence area, the altitude of which varies between 325 and 350 meters, surrounded by a series of mountain ranges to the east, over 5,000 meters in height and high plateaus reaching 3,000 meters: Marungu, Kibara, Kundelungu, Bianco, Manika, Kamina, Sankuru, Kasai, Kwango, Bateke, Lunda, rise to more than 1,000 meters and the Monts de Cristal peak at 900 meters.

The Congo's hydrography is extensive and dense; it is characterized by the Congo River that crosses the country from East to West and receives water from many tributaries that join it. In the Monts de Cristal region, the Congo River flows at 50,000 m<sup>3</sup>/second. The lake system includes large lakes to the east, Édouard, Albert, Kivu, Tanganyika, Moëro, and two other lakes in the Cuvette Centrale, Mai-Ndombe and Tumba. Being both equatorial and tropical, the DRC enjoys a diverse local eco-climate due to the combination of several factors: physiography, temperature, precipitation, length of the season, the impact of human activities on the natural habitat and its location straddling the Equator. Annual precipitation ranges from 800 mm along the Atlantic Coast to 2,200 mm in the Cuvette Centrale to 2,500 mm in the mountainous regions to the east, where rainfall can even exceed 3,000 mm.

Around three quarters of the Congolese territory is covered by various types of forest (Figure 2). The Congolese economy is based on agriculture and mining by a population currently estimated at 73.6 million inhabitants<sup>10</sup>.

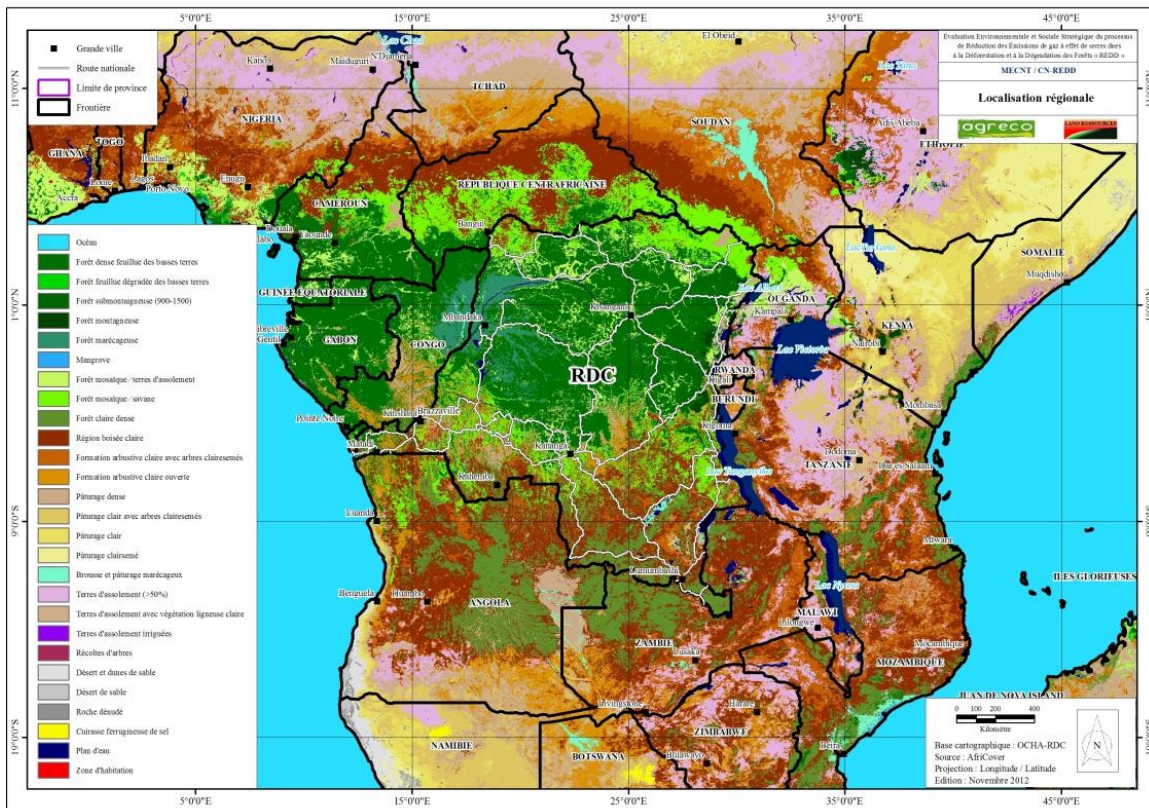
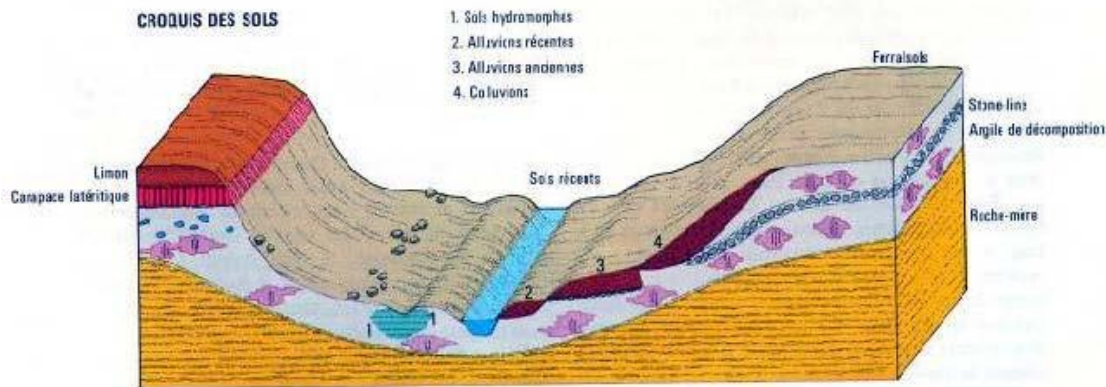


Figure 2. General Map of Plant Life in Central Africa

<sup>10</sup>Central Intelligence Agency (2012). "Congo, Democratic Republic of the"/"Congo, Democratic Republic of the". *The World Factbook*. Langley, Virginia: Central Intelligence Agency. Estimate from July 2012.

## 6.2. PEDOLOGY

Congolese soil is largely ferralitic (Figure 3) — the result of a deep, rapid and complete decomposition of parent soil material in a hot and humid climate. These soils are even poorer when the ferralization process is advanced. Fertile soil is sporadic and limited.



Source: *Atlas Jeune Afrique, Republic of Zaire, 1978*

Figure 3. Diagram of the Main Soil Types Found in the DRC

## 6.3. CLIMATOLOGY

The Congolese climate is tropical, characterized by precipitation levels that vary throughout the country between an average of 810 mm per year near the borders to 2,000 mm per year in the central basin. The seasonality of precipitation is bimodal in the zones close to the Equator, but become unimodal as you move further north or south. Equally, the length of the dry season increases with latitude: from 1 to 2 months on the Equator, to 3 to 4 months on the edges north and south of the forest. Average annual temperature ranges from 24–25°C and are as low as 18–20°C in high altitudes. Relative humidity varies between 70 and 85%.

The variance of its climate results in greatly diverse flora and fauna that makes the DRC one of the most biologically diverse countries. The entire Köppen Af<sup>11</sup> climatic zone, including the one located in the eastern part of the high altitude, constitutes the equatorial rainforest. The Am<sup>12</sup> climate zones, with the exception of those located in the region of Gaben in the east of the country, also constitute the rainforest, including the lake regions of Mai-Ndombe and the Northwest, which is within the Aw<sup>13</sup> climatic strip. Aw climate zones are woodland forest or savanna with tree cover related to the latitude and the dry season. Cf<sup>14</sup> and Cw<sup>15</sup> climatic zones of high altitude correspond to mountainous forest and bamboo formations.

<sup>11</sup> Wet tropical climates are where the coldest temperature is above 18°C. There is no distinct dry season. Each month there is at least 60 mm of precipitation.

<sup>12</sup> Wet tropical climate in transition between Af and Aw.

<sup>13</sup> Wet tropical climate with at least one month where 60 mm of precipitation is received.

<sup>14</sup> Wet temperate climate where the warmest temperature of the month is warmer than 10°C. There is no distinct dry season.

<sup>15</sup> Wet temperate hot climate with at least one month where 60 mm of precipitation is received.



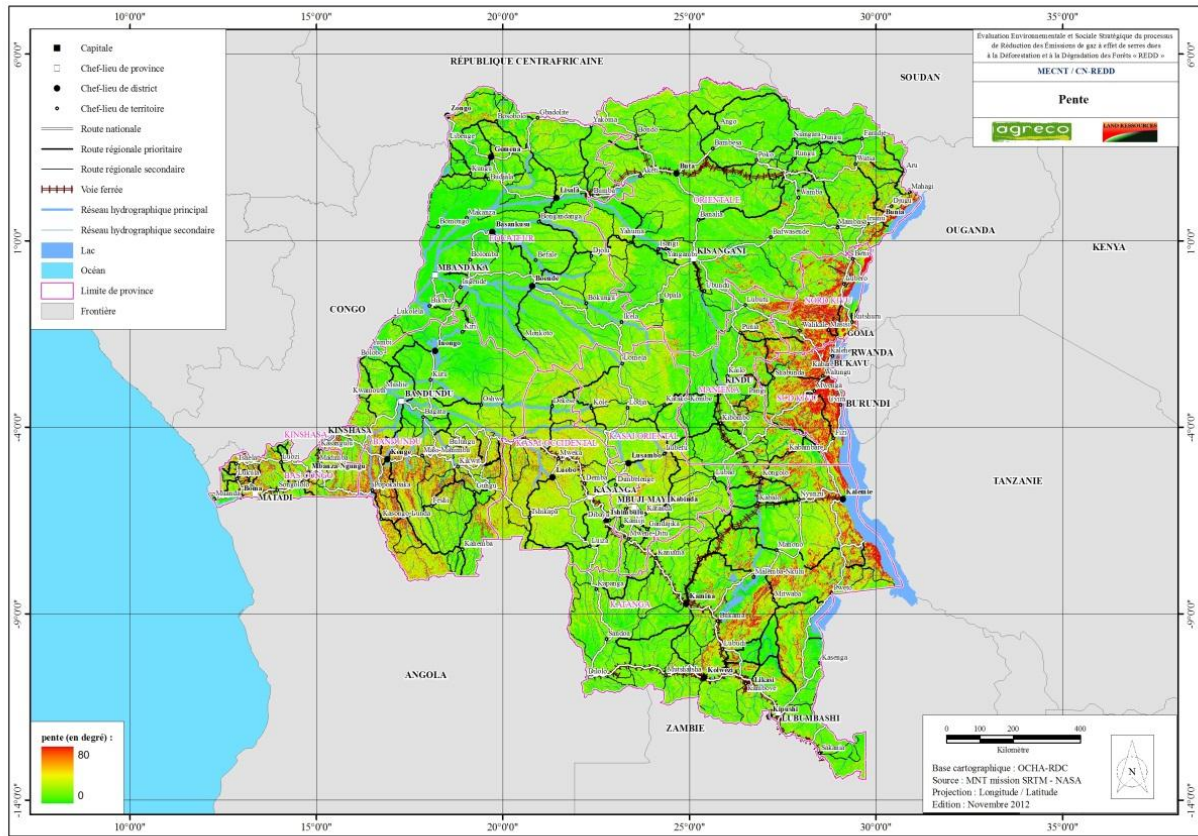


Figure 4. Gradient Map

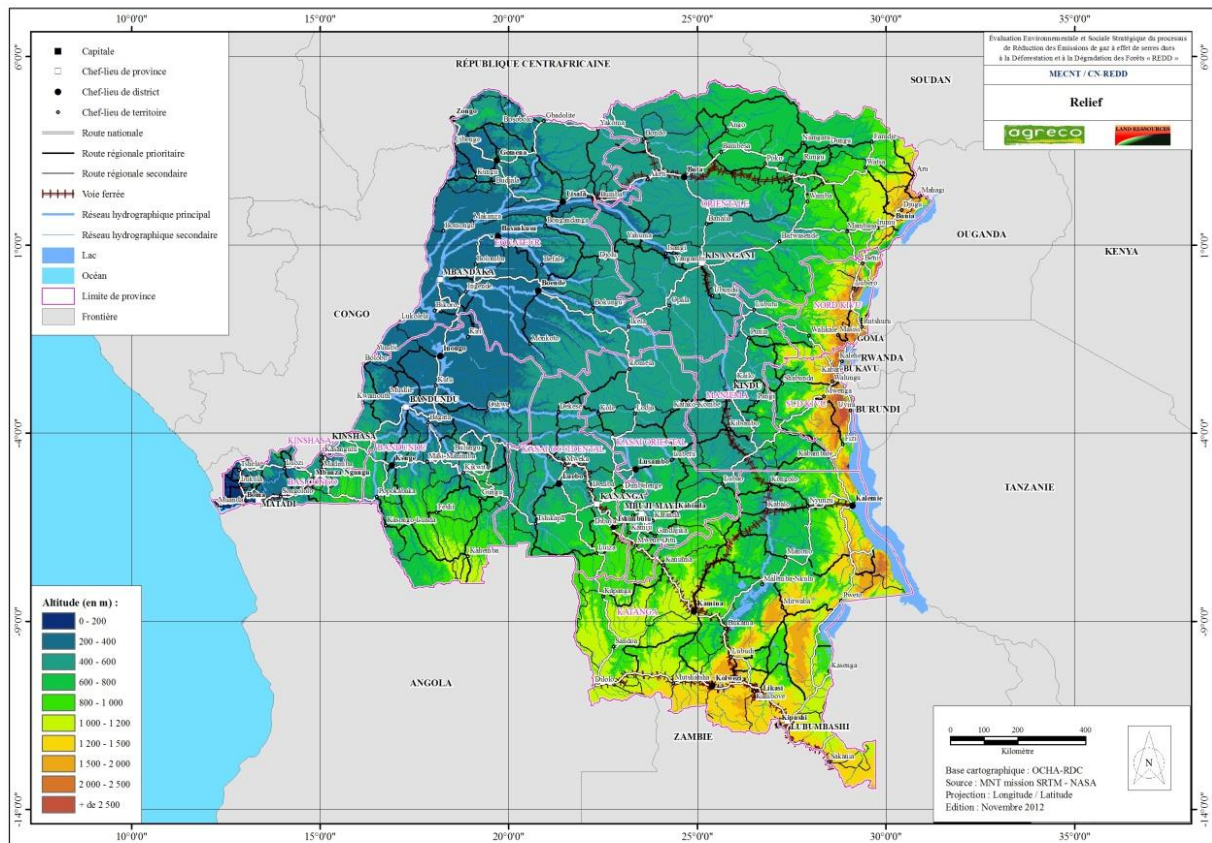


Figure 5. Altitude Map

## 6.4. FORESTS

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With nearly 1,541,348 km<sup>2</sup> of natural forest (FAO, 2010)<sup>16</sup>, the DRC contains the second largest tropical forest after Amazonia and holds nearly 47% of the tropical forest on the African continent. It contains more than half of the wet tropical forests of Central Africa.

The DRC has a forest cover characterized by dense wet evergreen and semi-deciduous forests, occupying the largest, around 68% of the entirety of Congolese forests, followed by dense dry forest or woodland forests (12%), secondary forests (9.5%), forests on hydromorphic soils (7%) and mountain forest (3%). Gallery forests and mangroves represent respectively 0.2 and 0.04% of the total forest area (SPIAF, 1992). Such a variety of habitats supporting biological resources as abundant as they are diverse places the DRC among the ten **most bio-diverse countries** in the world.

## 6.5. BIODIVERSITY

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The Democratic Republic of the Congo is considered one of the two most important African countries in terms of biological diversity. Its geographic location straddling the Equator bestows upon it a large range of climate zone (equatorial climate, wet tropical climate, tropical climate with a more or less distinct dry season, etc.), which, together with varied altitude and soil conditions, translates to a large diversified range of biomes, ecosystems and habitats.

Comprehensively, four large botanical regions (described at the beginning of this chapter) stand out in the country, related to altitude and proximity to the Cuvette Centrale (the vast depression in the center of the country) on one side and the Equator on the other.

In terms of the diversity of species, the Democratic Republic of the Congo is at the top of other African countries in several taxonomic categories: 482 species of mammals (recent count) compared to 409 reported by Conservation International in 1992, 1,086 species of birds, 216 species of amphibians, 352 species of reptiles compared to 280 reported in 1992, 10,000 species of angiosperms 3,000 of which are native.

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<sup>16</sup> FAO, Global Forest Resources Assessment 2010, National Report of the Democratic Republic of the Congo. FRA2010/054, Rome 2010.



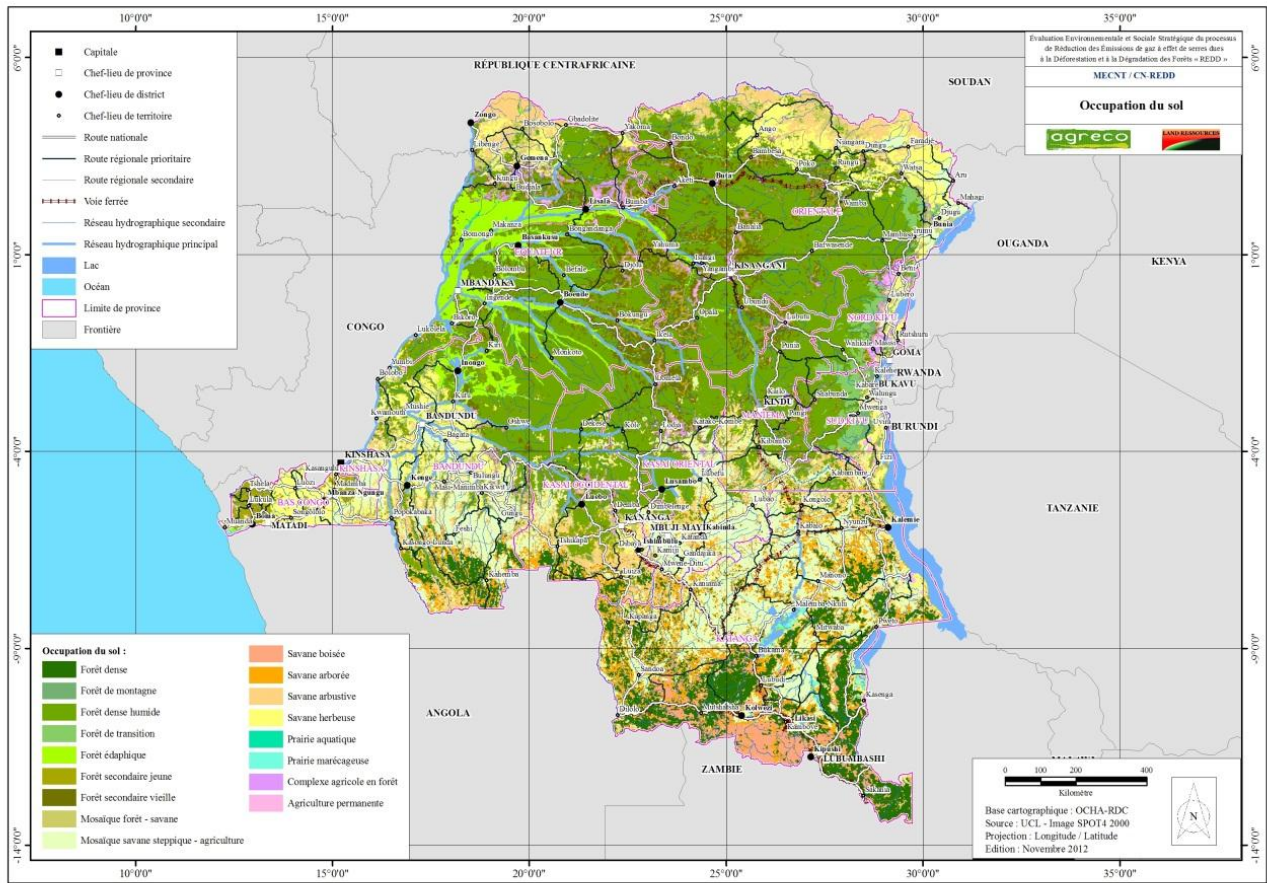


Figure 6. Land Use

## 6.6. INDUSTRIAL LOGGING

The main accessible production forests for lumber are nearly all concentrated in the Cuvette Centrale (a vast depression located in the center of the country) and in Mayumbe (in the Southwest of the country) and cover an area estimated at nearly 87 million ha, more than 99% is found in the Cuvette Centrale. The other areas mainly supply wood to satisfy the local need for fuelwood, and wood for service and construction (Kapa and Malele, 2003). The areas for logging concession in play are larger in magnitude than those in Protected Areas. Currently, the areas under protection, which unfortunately are theoretical, represent around 16,141,650 ha, or 13% of the landmass of dense forest (124,566,000 ha), while the areas allotted to 156 logging concessions represent 22,384,912 ha, or 18% of this same landmass (Figure 7).

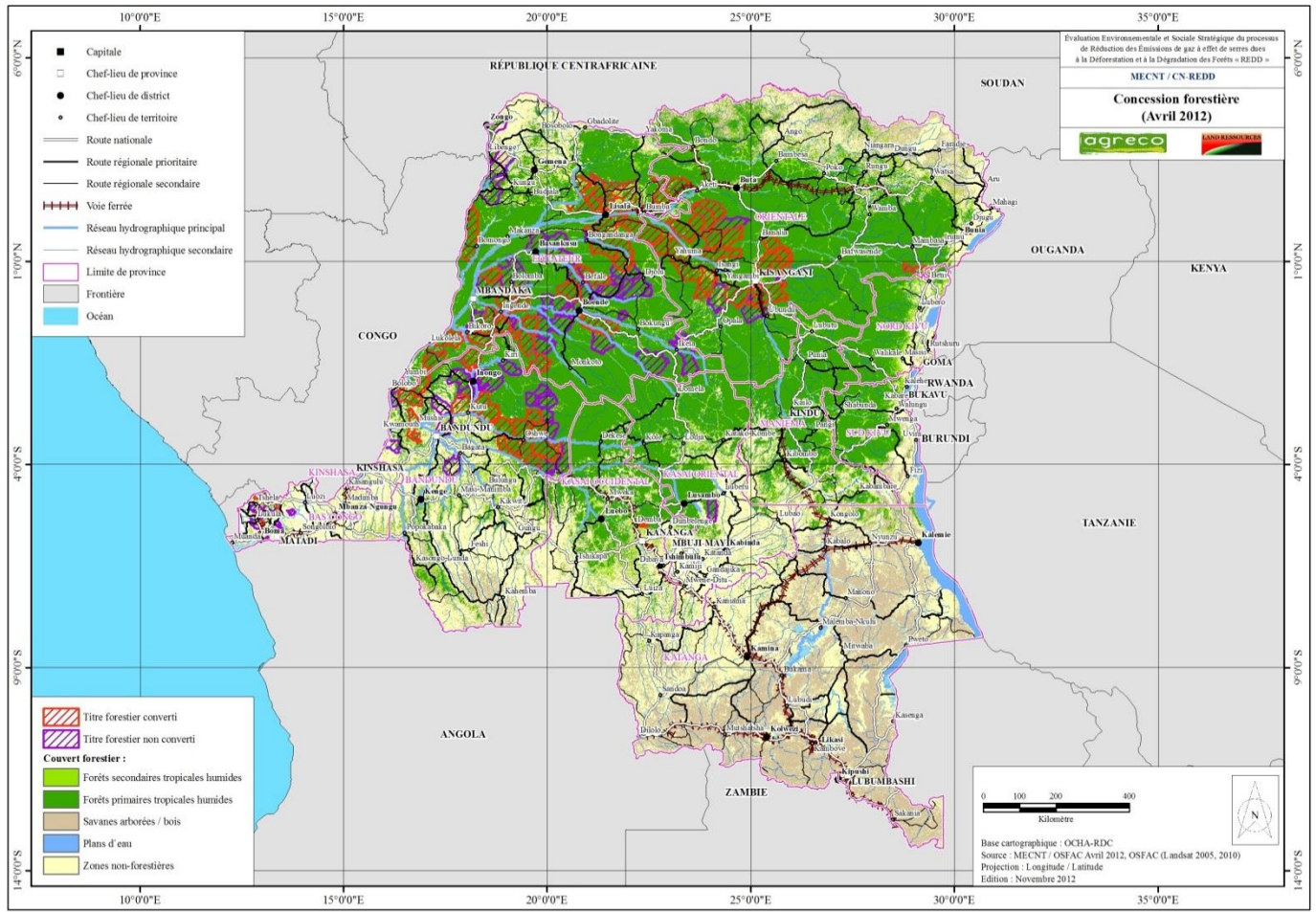


Figure 7. Logging Concessions

### 6.7. PROTECTED AREAS

Nature conservation in the DRC *in situ* is laid out in terms of Protected Areas, safeguard of species and areas protected, in principle, from human activities. It is implemented by national laws and administrative and technical measures. Four types are designated: national parks, forest reserves, hunting grounds and reserves, and biosphere reserves.

The DRC was the first African country to put its mark on nature conservation by the creation of Virunga National Park (formerly Albert National Park) in 1925 and the Rubi-Tele Forest Reserve (the current Rubi-Tele Hunting Grounds) in 1930. It increased the number of Protected Areas in 1938 and in 1939 respectively with the creation of the Parc National de Garamba north of the Province Orientale, and the Upemba in Katanga.

The number of these Protected Areas remained at three until the country gained independence on June 30, 1960. In 1970, ten years after independence, that number was increased to 7 with the creation of the Parc National de Kundelungu in Shaba (Katanga); the Parc National de la Salonga bordering a part of the Province de l'Équateur, the Bandundu, the Kasai Occidental and the Kasai Oriental; the Parc National de la Maïko in the Province Orientale and the Kahuzi-Biega in Sud Kivu. Four of these national parks (Virunga, Salonga, Garamba and Kahuzi-Biega) are UNESCO World Heritage sites.

In 1996, the Réserve de Faune à Okapis and the Parc Marin des Mangroves were created. This list has grown at the same time with the creation of other reserves as well as hunting grounds, not to mention zoological and botanical gardens, and reforestation sites.

Management of Protected Areas falls to the Institut Congolais pour la Conservation de la Nature (ICCN) in accordance with the order of law number 75-023 of July 22, 1975. Currently, given the very low visitation of the Protected Areas or the hunting grounds, the ICCN, relies mostly on technical and financial aid from its international partners to manage these Protected Areas.

Today, there are 60 to 70 Protected Areas, among which only about twenty have general administration personnel at the Institut Congolais pour la Nature. Sixteen are recognized by the Congolese government and by international experts as representatives of the majority of the ecosystems found in the DRC. However, among these Protected Areas, less than a third (1/3) are functional (R.K. Mwinyihali 2006). Figure 8 shows the location of these Protected Areas.

In general, the armed conflicts facing the DRC since 1996 until today have not spared its Protected Areas, specifically those in the north and east of the country. This situation has had considerable repercussions on national biodiversity; according to the ICCN agents, they have paid a heavy price for this period of instability.

### 6.7.1. FOREST RESERVES

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Managing these reserves falls to the Direction de Conservation de la Nature et de Chasse (Office of Nature Conservation and Hunting). However, there is no legal text in practice for their management. The objectives are protection of the natural forest, promotion of forest research, enriching the natural forest to promote the production of lumber and firewood.

### 6.7.2. BIOSPHERE RESERVES

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There are three biosphere reserves: the Luki, the Yangambi and the Lufira. The first two are monitored and each one has a management plan, though not yet approved by the Ministry of the Environment

These reserves were created and managed according to the concepts of UNESCO's MAB Program. The objective is to offer a framework for fundamental and applied ecological research both in the natural and altered environments. Thus, the aim is to offer scientific baselines that allow for measuring the long-term changes to the biosphere for continued environmental monitoring. Aside from research, these biosphere reserves function as places for in-situ conservation, education and training, as well as for developmental cooperation, especially from the perspective of integrated rural development.

Their management and supervision is ensured by the National Secretariat of the MAB Program in the DRC, who is associated with the Ministry in charge of environmental management.

### 6.7.3. ZOOLOGICAL AND BOTANICAL GARDENS

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These are a type of *ex-situ* conservation of the fauna and flora. Formerly managed by the Institut des Jardins Zoologiques et Botanique du Congo (IJZBC) (the Zoological and Botanical Garden Institute of the Congo), these gardens are now under the responsibility of the ICCN (the Congolese Institute for the Conservation of Nature) since the 2010 reform. There are four zoological gardens, two in Kinshasa, one in Kisangani and one in Lubumbashi, and three botanical gardens respectively located in Kisantu (Bas-Congo), in Eala (Équateur) and in Kinshasa (Parc de la Révolution).



### 6.7.4. HUNTING GROUNDS

Formerly managed by the Direction de Gestion de Ressources Naturelles Renouvelables du Ministère (the Office of Renewable Natural Resource Management), it has since been transferred to ICCN (the Congolese Institute for the Conservation of Nature) by ministerial order number 36/DECNT/BCE/78 of July 13, 1978.

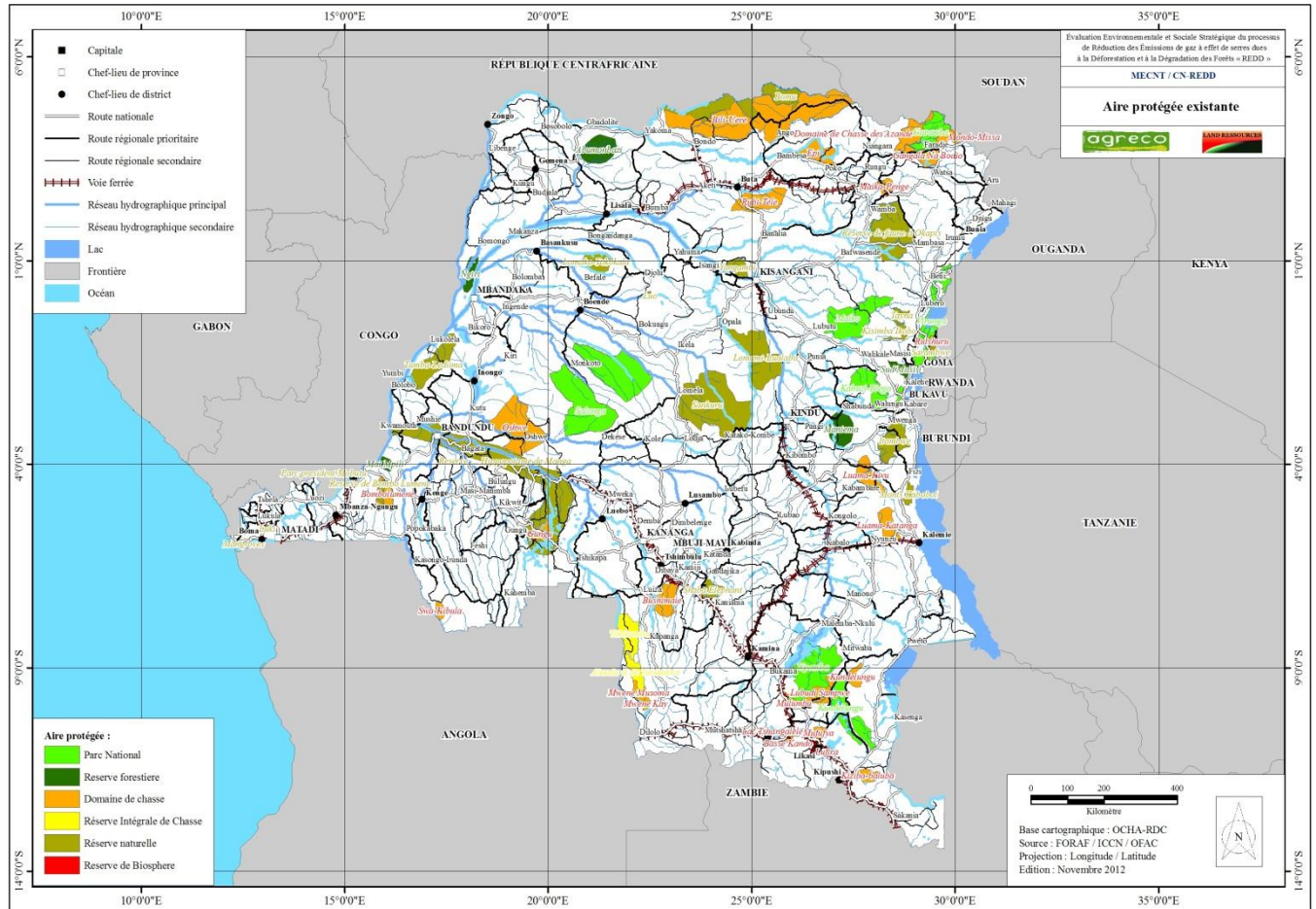


Figure 8. Existing Protected Areas

## 6.8. MAIN THREATS TO THE FOREST

Several studies have been done on the threats to the forest that come about by deforestation. These are studies done by experts. Few studies have been done to find out the sentiment of the people regarding this deforestation. A questionnaire was put forward to find out the perception of the provincial and local managers and those of the local populations living in the different areas of the country.

### 6.8.1. THE RESULTS OF THE CONSULTATIONS

As with all tropical forests, the Congolese forests represent a natural resource that contributes in diverse ways to satisfy the survival needs of the people, either in the development from the local, regional, or national perspective, or to respond to the preoccupations of ethical, cultural or esthetic needs, or even in the now evident way relating to the preoccupations of environmental balance. Among the obvious pressures on the Congolese forest and all that they include, are:

- slash-and-burn agriculture;
- fuelwood harvesting (firewood and charcoal);

- industrial and small-scale logging;
- small-scale mining operations;
- harvesting non-timber forest products;
- commercial hunting;
- installing equipment for developing the country;
- opening new roads;
- creating pastures in forest areas;
- urban sprawl and other population clusters;
- non-compliance with land and forest laws, etc.

The study conducted in 2010–2011 within the REDD framework <sup>17</sup>defined slash-and-burn agriculture, the production of charcoal, mining and small-scale logging as the main sources of deforestation in the country. This same report defined the causes of this as population growth, institutional aspects (political decisions, civil wars, bad governance), infrastructure creation and economic aspects (crisis, unemployment, poverty).

There were public consultations of provincial ministers and civil society organizations in 12 different areas in 5 provinces: Kinshasa: Ibi batéké; Bas Congo: Kimpese, Matadi, Boma, and Luki; Orientale: Kisangani, Rubi-Tele/Sukisa, Yaselia, Yangambi and Lilanda; Équateur: Mbadanka, Bikoro, Village de Mpahaet Ntongo. In addition, an interview was held with around 182 people, mostly heads of households (see the questionnaire in **Error! Reference source not found.**).

Even though there were regional disparities, the interviewees noted large scale deforestation, except in the region of Mbandakaoù; deforestation is essentially concentrated in large urban centers in the north of the province (Ubangi).

The main causes of deforestation stated by the respondents during the consultations are:

- Slash-and-burn agriculture;
- Brush fires;
- The need for fuelwood;
- Industrial and small-scale logging;
- Mining;
- Land use problems;
- Urbanization and demography.

Regarding individual questionnaires, the causes identified are in the table below. Each respondent could give three causes for deforestation, which explains the total of 297 responses for 182 interviews.

**Table 1. The Main Causes of Deforestation According to Interviewees**

cause de déforestation		
Exploitation forestière(grande compagnie)	48	12.1%
Exploitant forestière locaux	41	10.3%
L'État qui donne trop de permis	54	13.6%
Les agriculteurs	64	16.1%
Les besoins de charbon et bois de feux	107	27.0%
L'amélioration de l'accès (routes réhabilité)	11	2.8%
Le chef de terres qui donnent des permis de couper le bois	36	9.1%
Autre : indiquer	36	9.1%
<b>Total</b>	<b>397</b>	<b>100.0%</b>

<sup>17</sup>Synthèse sur les causes de la déforestation et de la dégradation en RDC (Summary of the Causes of Deforestation and Degradation) – Version 1, MECNT (the Ministry for the Environment, Nature Conservation and Tourism) 2011

We see from the interviewees that it is the need for energy that is the main cause of deforestation with 27% of responses, followed by farmers with 16.1% and too many exploitation permits given ranking at 13.6% of responses. Followed by industrial and local logging operations, respectively, with 12.1 and 10.3%. Renovated roads do not represent a major cause of deforestation, according to the respondents.

The same individuals responded to a question about their main use of the forest. The following table gives their responses.

**Table 2. : Main Use of the Forest by the Interviewees**

<b>usage forêt</b>		
Taux de réponse : <b>99.5%</b>		
Valorisation des échelons : de 1 (Bois énergie) à 7 (Autres)		
Bois énergie	<b>103</b>	<b>56.9%</b>
Site pour l'agriculture	<b>66</b>	<b>36.5%</b>
Site pour l'élevage	<b>2</b>	<b>1.1%</b>
Cueillette de produits forestiers non ligneux (autres qu'alimentaire)	<b>2</b>	<b>1.1%</b>
Bois de construction	<b>3</b>	<b>1.7%</b>
La nourriture (chasse et cueillette)	<b>3</b>	<b>1.7%</b>
Autres	<b>2</b>	<b>1.1%</b>
<b>Total</b>	<b>181</b>	<b>100.0%</b>

The response to this question corroborated the studies conducted by the NC-REDD on the causes of deforestation, especially as concerns agriculture and fuelwood.

The interview also showed that the main source of energy is wood material. Even though it was possible to give several energy sources, it is notable that 86% of responses give coal and wood as energy sources.

**Table 3. : Types of Energy Used for Cooking**

<b>type d'énergie cuisson</b>		
charbon	<b>118</b>	<b>35.3%</b>
bois	<b>170</b>	<b>50.9%</b>
pétrole	<b>13</b>	<b>3.9%</b>
gaz	<b>0</b>	<b>0.0%</b>
électricité	<b>33</b>	<b>9.9%</b>
solaire	<b>0</b>	<b>0.0%</b>
<b>Total</b>	<b>334</b>	<b>100.0%</b>

These responses support those related to use of the forest.

The other uses of the forest are for ritual practices and gathering medicinal plants.

**Table 4. : List of Other Uses of the Forest**

<b>usage forêt_AUTRE - Si 'Autres', précisez :</b>		
Taux de réponse : <b>26.9%</b>		
Non réponse	<b>133</b>	<b>73.1%</b>
plante medecinale, rite traditionnel, forêt sacrée	<b>31</b>	<b>17.0%</b>
pêche	<b>4</b>	<b>2.2%</b>
Forêt sacrée	<b>2</b>	<b>1.1%</b>
pirogue	<b>2</b>	<b>1.1%</b>
rite traditionnel, forêt sacrée	<b>2</b>	<b>1.1%</b>
exploitation d'or	<b>1</b>	<b>0.5%</b>
exploitation minière	<b>1</b>	<b>0.5%</b>
fabrication des meubles	<b>1</b>	<b>0.5%</b>
la forêt nous protège contre les vents violents	<b>1</b>	<b>0.5%</b>
le minier/carrière	<b>1</b>	<b>0.5%</b>
plante medecinale, rite traditionnel	<b>1</b>	<b>0.5%</b>
plantes médicinales	<b>1</b>	<b>0.5%</b>
rite traditionnel	<b>1</b>	<b>0.5%</b>
<b>Total</b>	<b>182</b>	<b>100.0%</b>

These established uses of the forest are mainly for domestic uses (66.1%) and for supplemental income in 20.6% of cases. However, 14.1% of interviewees use the forest for business.

**Table 5. : Final Forest Use (main and secondary income, household uses)**

<b>type d'usage</b>		
Le Commerce (principales sources de revenu)	<b>25</b>	<b>14.1%</b>
Les usages de la famille	<b>117</b>	<b>66.1%</b>
Le petit commerce (revenu d'appoint)	<b>35</b>	<b>19.8%</b>
<b>Total</b>	<b>177</b>	<b>100.0%</b>

Only 23% of people interviewed who took natural resources knew of the existence of a forest code.

**Table 6. : Knowledge of the Forest Code**

<b>connaissance du code forestier</b>		
Taux de réponse : <b>57.1%</b>		
oui	<b>24</b>	<b>23.1%</b>
non	<b>80</b>	<b>76.9%</b>
<b>Total</b>	<b>104</b>	<b>100.0%</b>

## 6.9. INDUSTRIAL LOGGING

In the DRC, logging is very selective. Depending on the type of vegetation and its physiognomy, it concerns a very limited number of commercial species that varies between 11 and 21, and what is taken is few (1 to 3 stems/ha). Within the Congolese logging legislation, trees that may be logged are defined by a minimum diameter (MD). There is no limit to the harvestable number of species taken per hectare, even if the natural distribution of commercial species means the number of individual ones taken is low.

Independent of the distributor's engagement in sustainable management, the exploitation of a forest requires that a certain amount of infrastructure be constructed — specifically, encampments, road networks, timber yards, temporary trails and skid trails, etc. The road network is made up of main roads and secondary roads that are used by the logging trucks to take the wood from the log yards in the forest to the factories, or in certain cases, to the beach if the wood is to be transported on the waterways. Distances transported vary from a few dozen to a few thousand kilometers (for the companies visited, this distance varies from 22 to 1772 km).

Logging creates **significant human activity in the forest**. First, there are teams to prospect and delineate the concession who travel throughout the area, followed by civil engineering teams and their machines that construct the main roadway and the encampments. Once a minimum infrastructure is created, the logging inventory teams search the forest to determine and locate potential timber. The cutting and transport teams then come and take over woodcutting and transporting the logs to the log yards in the forest, where other teams take over shaping and loading them onto the logging trucks to be transported to the factory timber yards or transport points (ports).

All of these operations are not able to be done without putting pressure on the forest. This pressure has environmental impacts exerted by:

- the creation of infrastructure, which implies the destruction of plant cover, mainly for erecting encampments and wood processing devices. The consequences of constructing and maintaining a road network are: (i) the blockage of certain waterways and the creation of reservoirs upstream from the infrastructure; (ii) the increase in waterway sediment, which can have a harmful effect on the water supply and its quality; (iii) the compaction of soil, which can affect water flow and the disappearance of the topsoil; (iv) heavy soil erosion; (v) the increased risk of landslides on steep slopes; (vi) major changes to the vegetation and fauna along the main areas. Keeping in mind that the presence of a road network, even one that is well planned, fragments the forest area;
- logging operations : once access is granted, operations related to opening swathes for inventory, felling trees, opening skid trails, skidding itself and transporting logs also contributes to destruction and damage to part of the vegetation. The gravity of these impacts is directly related to the intensity of logging and the care brought to these diverse operations, but it is impossible to conduct these operations without damage to the remaining tree stands.

Opening swathes for inventory involves cutting down all the trees along the route. Felling causes major and minor damage to other trees. Opening skid trails and skidding itself involves the death of the seedlings, young plants and bushes of the underbrush and can also inflict damage to the base of large trees. Opening log yards involves clearing a strip of forest. The teams travelling through the forest generally make a lot of noise, especially when they use motorized equipment, which disturbs the wild fauna. It is clear that this noise is less damaging for the fauna than the fact that they must migrate from disturbed areas to more peaceful areas. These teams take advantage of their travels to lay traps, hunt with rifles or capture certain less mobile animals (e.g., Gambian pouched rats or anteaters). Poor management of forestry machinery waste products (fuel, motor oil, used parts) or human waste products damage the environment;

- the increase in local population density: in the DRC, logging operates in remote, unpopulated areas that are on the fringe of development. Upon arrival in these extremely underdeveloped areas, an investor with appropriate means often creates a considerable appeal to the population of the villages in the concession areas, and even the more remote villages, who come to profit from generally much better living conditions and to exercise lucrative activities promoted by the company. This immigration, in addition to that of the company's workers and their families, leads to a large and rapid increase in the local settled population density. Such a human concentration has multiple impacts:
  - facilitated access to remote forest areas rich in biodiversity;
  - deforestation through slash-and-burn agriculture and illicit harvesting of lumber;
  - local pollution (household waste, excrement); the propagation of exotic species (*Chromolaena odorata*); the overuse of forest resources (commercial hunting and fishing);
  - on plant diversity by overuse of non-timber forest products, the search for firewood and charcoal.
- fragmenting the forest area: the road network fragments the plant cover creating impassable obstacles for certain tree-dwelling animals or those who move slowly, while the secondary vegetation that grows along the edges of roads or paths attracts a good number of large herbivores (elephants, large antelopes, etc.) who find an abundant source of food, but also the increased risk of being hunted. Equally noteworthy is the small salary earned by workers (especially mid-level staff, technical agents and workers) of certain forestry companies, as well as late salary payments, which



incite these family members to exert pressure on the plant cover near the encampments through the practice of slash-and-burn agriculture and small-scale animal husbandry.

### 6.9.1. PRESSURE FROM SHUTDOWNS OF INDUSTRIAL LOGGING AREAS

In areas where industrial logging operations have shut down, the magnitude of the pressures felt by the forest is less compared to that described above, even though the consequences of these pressures felt during operations is still present (easy access to isolated areas through old roads or skid trails).

According to the strategic environmental assessment report from PNFoCo, the main pressures identified in closed logging operations areas are:

- slash-and-burn agriculture practiced by former local employees of the company and their families, the immigrant population still present and neighboring villagers;
- poornon-timber forest product gathering practices, specifically harvesting Marantaceae leaves and *Gnetum africanum*, cutting down certain trees to get caterpillars, etc.;
- small-scale logging facilitated by the old road network constructed by the company;
- the search for firewood;
- carbonizing forest species with a high heat energy, specifically *Xylopiasp.*, *Macaranga*, etc. in response to the large demand for charcoal in the cities.

### 6.9.2. PRESSURE IN SMALL-SCALE LOGGING AREAS

Small-scale logging exerts a **huge pressure on the forests**. Moreover, it does not profit the whole community. The amount of wood concerned is quite large and recent reports from independent observers<sup>18,19</sup> indicate that, more and more, the forestry legislation in effect regarding industrial logging is being circumvented and large amounts of wood are being cut to export. However, statistics on this are sparse.

Traditionally, small scale artisanal loggers are equipped with old machinery and some of them have questionable financing that comes from foreign "investors" who refuse to follow the authorized route. They operate in the shred forests (Bandundu province), but also in the forest areas (the forests in Lisala, Bafwasende, Isangi, Banalia, etc.), without heavy equipment, rudimentary (pit saws), sometimes modern (chainsaws), without the creation or development of a road network.

Small scale operations often do not respect the minimum diameter (MD) and take a very large volume from small plots and a wide array of species. Large volumes of wood cut in an artisan style, but not recorded, are sold on the local market and some are exported. Its impact on biodiversity may be worse than industrial exploitation because it evades all regulation.

National and local state agents are neither equipped nor reinforced to monitor and oversee logging operations, in the industrial sector and even less so in the artisanal sector. It is difficult for them to take preventative measures for the pressures suffered by a particular species related to uncontrolled logging. No reliable statistic exists related to this form of exploitation. The majority of small-scale loggers ignore the regulations, which leads to excessive deforestation and the scarcity of certain wood species, including animal and plant species, as well as the destruction of the ecosystem with the risk of land degradation and erosion. In the Province Orientale, the loggers have even created the job of wood traders.

It should be noted here that in certain cases (in Olam in the Idiofa (Mangaï)/Bandundu territory and between Kisangani and Banalila), the industrial companies contract the artisanal loggers and equip them to cut wood for them that they buy back. This illicitly exempts them from the legal steps for obtaining concessions. Additionally, according to Global Witness, at least 146 artisanal logging permits have been issued since 2010 to camouflage industrial logging operations for large volumes of wood for export. The largest market for this is China.

<sup>18</sup> GLOBAL WITNESS 2012. "The Art of Logging Industrially in the Congo: How Loggers are Abusing Artisanal Permits to Exploit the Democratic Republic of the Congo's Forests" Global Witness Limited, London.

<sup>19</sup> GREENPEACE AFRIQUE 2012. " 'Small-scale logging operation' = covert industrial logging operation. Bypassing the moratorium on the allocation of new concessions for forestry operations in the Democratic Republic of the Congo". Greenpeace Africa, Kinshasa.

### 6.9.3. PRESSURES ON PROTECTED AREAS

Armed and political conflicts over the last decades have led to a government that can no longer control the actions of the population in these sites. It is used to solve the food, economic and social needs without heeding either the law or regulations in this matter. The main pressures of the noted deforestation in nearly all the Protected Areas are:

- slash-and-burn agriculture, which is noted in all of the Protected Areas of the country. The people resort to agriculture to meet their food needs and to gather small amounts of savings;
- mining, which is noted in the Areas where there are mining deposits (e.g., coltan in the Kahuzi-Biega Park, gold in Rubi-télé). They resort to this activity to gather a little bit of money;
- carbonizing, which is practiced in all of the Protected Areas. It is for energy and financial reasons that the population resorts to ember production (alarming case in the Parc Marin des Mangroves and many reserves near urban centers);
- wood cutting, which is also done in all of the Protected Areas of the DRC. The people cut wood to heat their homes and to sell to inhabitants of urban areas to gain a little bit of financial means;
- logging, where illicit logging is noted in certain reserves where there are no guards in the central area.

Currently, the high number of Protected Areas and the insufficiency of technical personnel and eco-guards assigned in the territory impedes the ICCN from playing its role in ensuring the necessary oversight to efficiently juggle the various anthropic pressures.

### 6.9.4. PRESSURES IN THE AREAS OF FREE ACCESS TO RESOURCES

The free-access system (according to the forest code, protected forests) may have grave consequences on the sustainability of these resources, especially in the current context where the means that state structures lack to make the legal texts about environmental matters available and popularized, as well as to exert control and monitoring.

This system is marked by exploitation. Slash-and-burn agriculture, searching for wood for energy needs, the presence of migrants and displaced people constitute a permanent threat on the forest in free-access areas. These pressures are mainly experienced:

#### 6.9.4.1. Near Urban Areas

City dwellers have a vital need for the forest, but use these resources in a way that is not very compatible with sustainable development. There is a daily need for fuelwood, NTFPs (non-timber forest products) and other forest products. This urban pressure is explained on the one hand, by the economic crisis accentuated by the different wars the country has faced, and on the other hand, by the dilapidation of production infrastructure spurred on by generalized poverty, weak state systems and the cultural attachment of urban dwellers to the forest.

Currently the largest pressure on the forest is seen in the city supply basins of wood and non-wood forest products. Thus it can be concluded that the expansion of cities lead to more pressure than growth of the rural population. The non-native population increase in the suburban forest regions increases demand and leads to the proliferation of small businesses to respond to this increased need spurred on by the low cost of transport and road rehabilitation, which allows even cyclists and motorcyclists easy and quick access to resource extraction sites, thus over-exploitation of forest resources. Haphazard layout is one of the causes of pressure on the forest.

Suburban areas are hit with systematic destruction of biodiversity, replace by an environment poor in plant and animal species. Agriculture and charcoal production are the two main drivers to this destruction process. Several cities in the DRC are within areas where the population is essentially agricultural, there they cultivate on longer and longer areas, requiring hours of walking or biking (2 hours to walk or 10 km — distances that are quite common for agricultural fields). Also, each morning and evening, the roads leading to the fields are crowded with thousands of people.

The urban areas develop their agricultural influence in two complementary ways: radiating (the push is general in all areas) and radial, along the large axes that lead to the city. In the second case, the most striking example is the road from Kisangani to Banalia,

that itself becomes a continuous quarter of the city, nearly 100 km. It is noted in these environments, the disappearance of more and more tree cover, in particular the "forests", fields not yet turned into savanna, and thus the reduction in yields. Charcoal production has possibly an even larger impact on environmental destruction. The systematic destruction of the area of forest cover could be 200 km and more (as is the case of Kinshasa and Mbuji-Mayi).

#### 6.9.4.2. In Rural Areas

The pressure on the forest is more intense in rural areas because of alternative activities, especially the closing of plantations that formerly employed many villagers, as well as the chronic non-payment and late payments to teachers and state agents. The best option they have found is to turn to the forest to find what they can to meet their families' needs. Pressure is also exerted by:

- agriculture;
- fuelwood needs;
- migrants searching for fertile farm land;
- commercial hunting and fishing;
- small-scale logging and mining;

The rural population, by definition, lives by exploiting the natural resources. Agriculture, hunting, fishing, and gathering are all activities that exert pressure on the resources. Population density, the way these activities are conducted as well as the increase in commercial demand, all determine the level of pressure. The most immediately destructive activity to biodiversity is agriculture. The current swidden fallow/slash-and-burn agricultural practices cause the annual destruction of a total area between 0.5 and 1 ha per household in the forested area, whether this area is primary or secondary forests, or recent gains from fallow periods of less than six years. Additionally, the collapse in demand the last thirty years for commercial perennial crops (which defined agriculture) has spurred the small farmers to turn to seasonal crops to make a living.

#### 6.9.4.3. In the Forested Areas

The Congolese forest is facing a major risk because it has become practically the only source of food for the entire community, be it local or indigenous. This pressure is felt by the people who live there. The search for subsistence and commercial forest products is a risk to the environment as well as to the population, because it disturbs the ecological balance. According to PNFCo's Strategic Environmental Assessment, deforestation without replanting widespread.

An analysis of recent deforestation (2000 to 2010) shows that it follows roads and main waterways. There is not necessarily a direct link with logging concessions (see: <http://www.wri.org/tools/atlas/map.php?maptheme=drcforest> to see the different overlaps of deforestation and logging permits).

A 2009 FAO study<sup>20</sup> gives more precise elements regarding the level of deforestation around cities and in logging concessions using a method that analyzes satellite images from two dates.

Site/surface ha	Period	Annual Rate of Deforestation in %	Annual Rate of Forest Degradation in %	Cause
GEMENA/ 2,414,484.28	1986–2000	1.58	1.76	Agriculture, urbanization Increased population density
SIFORCO 452,147	1990–2000	0.86	0.82	Agriculture at more than 97%
Isangi-SAFBOIS 344,383	1986–2001	0.46	0.55	Logging and agriculture

The study shows that deforestation appears after 3 to 5 years of degradation, and that this degradation is visible in images only when part of the forest cover is gone; degradation gradually increases to the point that the forest completely disappears.

<sup>20</sup> FAO, Forest Department, FAO, Analysis of Forest Resources

Document de travail 169, Études de cas sur l'évaluation de la dégradation des forêts, RDC, (Work Document 169, Case Studies on the Assessment of Forest Degradation, DRC) 2009

Even though there seems to be no further study on forest degradation *versus* deforestation, this 2009 study shows that degradation is roughly equivalent to deforestation. Thus, one can hypothesize that deforestation and forest degradation in the DRC is 0.50 to 0.60% annually.

Within this study, the consultant analyzed deforestation for 2000–2005, and 2005–2010 on the OSFAC database. This analysis was done inside a circle of 100 km around 8 cities<sup>21</sup>. Kisangani is shown here as an example: the data analyzed are on a radius of 0–25 km, 25–50 km and 50–100 km. See the following figure:

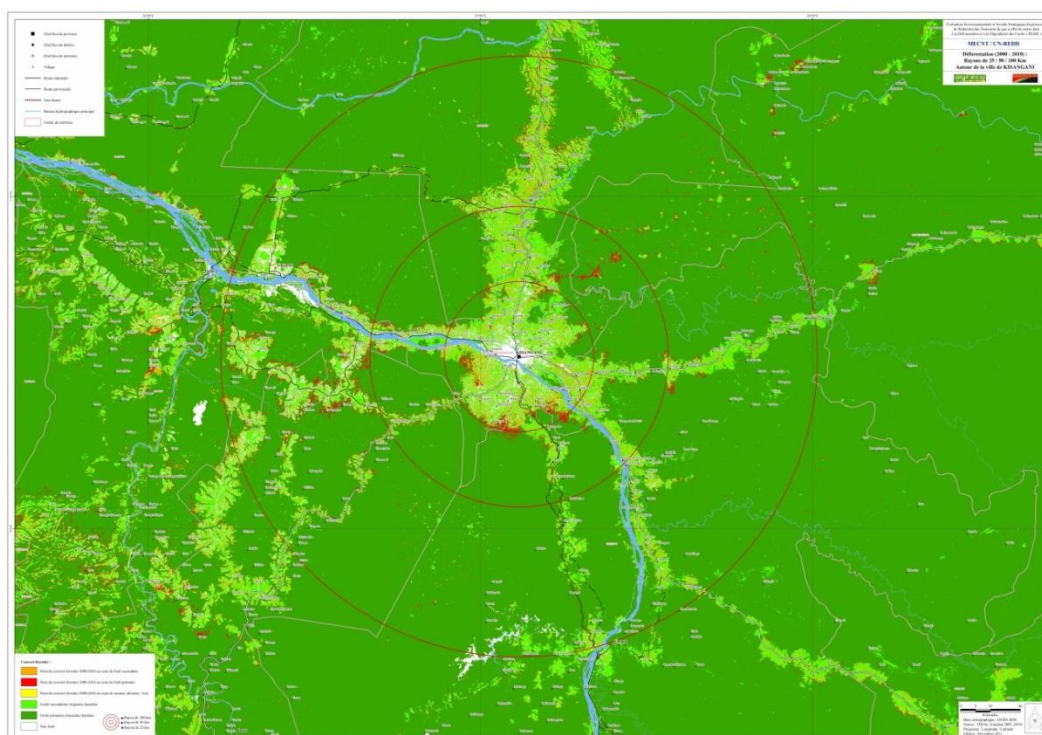


Figure 9: Deforestation Map in the Kisangani Area

These data are compiled in a table i) by city and ii) for all 8 cities. The results for Kisangani are given in the following table.

Table 7: Percentage of Forest Loss Around Kisangani between 2000 and 2010

Type of Forest Cover and Analysis Period	% of Loss of Forest Type by Area		
	0–25 km	25–50 km	50–100 km
Secondary forest between 2000–2005	15.7%	11.0%	11.4%
Secondary forest between 2005–2010	11.4%	10.7%	12.1%
Primary forest between 2000–2005	6.0%	0.5%	0.4%
Primary forest between 2005–2010	6.1%	1.2%	0.6%

This table shows secondary forest deforestation at about 1.5% higher in the first 25 kilometers between 2000 and 2005 than between 2005 and 2010. However, it is more or less stable in the sections from 25 to 50 km and 50 to 100 km of Kisangani.

It is notable that after 2005 the percentage of primary forest lost doubled between 25 and 50 km and is multiplied by 1.5 in the 50–10 km section, while it is stable in the first 25 km radius. This can be explained by new roads opening up, and primary forests being much larger and dense outside of the 25 km radius. It is normal that they are affected by roads that allow access to them.

Table 8: Forest Loss Around Kisangani between 2000 and 2010 in Ha

Type of Forest Cover and Analysis Period	Surface Lost in km <sup>2</sup> Per Area			
	0–25 km	25–50 km	50–100 km	total
Secondary forest between 2000–2005	171.8	106.5	284.4	562.7
Secondary forest between 2005–2010	105.3	92.0	267.7	465.1
Primary forest between 2000–2005	28.1	26.0	73.0	127.1

<sup>21</sup> Bukavu, Goma, Kananga, Kindu, Kinshasa, Kisangani, Mbandaka, Mbuji-Mayi

Primary forest between 2005–2010	26.9	54.9	115.5	197.3
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In terms of surface loss between the two periods (2000–2005 and 2005–2010), it is less in secondary forests, around 17%, but higher in primary forests at more than 55%.

The total loss of all forest cover is from 689.9 km<sup>2</sup> to 662.4 km<sup>2</sup>: a decrease of more than 27 km<sup>2</sup> or around 5.5 km<sup>2</sup> less per year.

Thus, on this basis, it is possible to conclude that the increase in deforestation of primary forests is not necessarily due to agriculture, because the areas concerned decrease rather than increase with the population, which is contrary to logic. In our opinion, deforestation is correlated with agricultural needs. The areas lost should, in principle, increase with population, which does not seem to be the case for the area and the period studied. It is quite probable that the rehabilitation of roads gave rise to commercial exploitation (legal and illegal) of the forests, which is more interested in primary forests than secondary forests.

If we look at the whole of the eight cities, we see that deforestation of primary forest area doubled in the periods studied, while that of secondary forests decreased by a quarter over the same period.

Type of Forest Cover and Analysis Period	Surface Lost in km <sup>2</sup> Per Area			
	from 0–25 km	from 25–50 km	from 50–100 km	Total 0–100 km
Secondary forest between 2000–2005	335.6	322.9	982.2	<b>1640.6</b>
Secondary forest between 2005–2010	239.4	258.7	776.1	<b>1274.3</b>
Primary forest between 2000–2005	69.5	120.9	382.8	<b>573.2</b>
Primary forest between 2005–2010	105.6	215.0	642.8	<b>963.3</b>

For the eight cities, the total amount (primary and secondary forests) of area lost between 2000 and 2005 is 2213.9 km<sup>2</sup>, while for the following period, 2005–2010, it is 2237.6 or 23.7 km<sup>2</sup> more, about 4.7 km<sup>2</sup> more per year. This is a small increase between the two periods: a deforestation rate of about 0.02%. The data for the seven other cities, as well as short interpretations, are found in the Annex.

An interesting study by I. Bamba et al<sup>22</sup> shows a significant relationship between the forest cover and the distance of two cities in the Province Orientale. The same relationship is found between the roads and trails. This shows that even if logging is not a direct cause of forest degradation, it is none the less an indirect main cause and allowing easy access to forest resources inevitably leads to their degradation.

The study reveals a significant influence ( $p < 0.01$ ) of settlements on the forest class in our study area. The proportion of forest diminishes in proximity to cities. In each of the two cities, even if only statistically, their changes are identical in 1986 and 2001; the amount of forest land was higher in 1986 than in 2001 for the same distances. This confirms the general trend toward deforestation observed in this area (Laporte, 1999) and the influence of distance on the proportion of forests. The proportion of forest surface also differs according to the size of the city.

The influence of roads on the forest landscape causes a diminished proportion of forest in proximity to roads. In fact, the distance of the road has an influence on forest proportion ( $p < 0.01$ ). The change in forest proportion is identical in 1986 and 2001, which indicates that it is primarily the distance that influences changes in forest proportion and not the year. Likewise, average deforestation is increased in proximity to roads compared to those far from these routes, as has been also shown by numerous authors.

<sup>22</sup> I Bamba & al IJSR Vol.43 No.3 (2010) Effets des Routes et des Villes sur la forêt Dense dans la Province Orientale de la République Démocratique du Congo (Effects on Roads and Cities on the Dense Forest in the Province Orientale of the Democratic Republic of the Congo), pp. 417–429



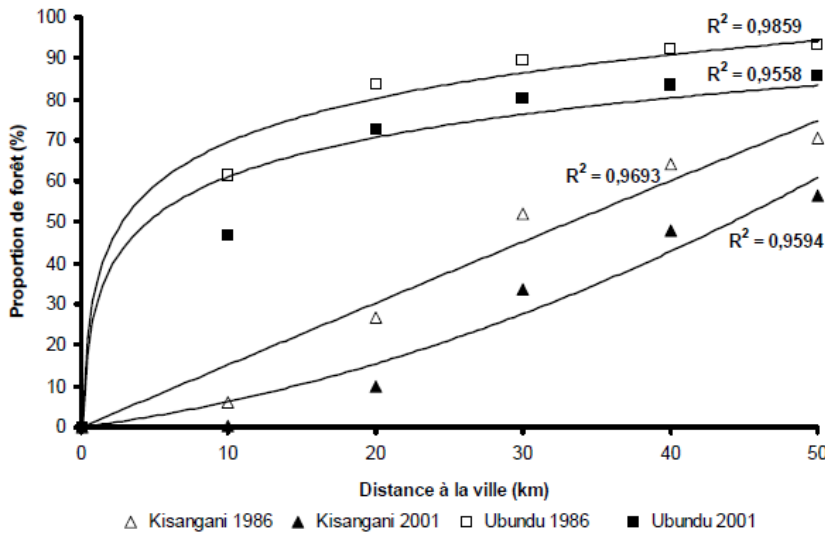


Figure 10: Relationship between Forest Cover and the Distance from Cities

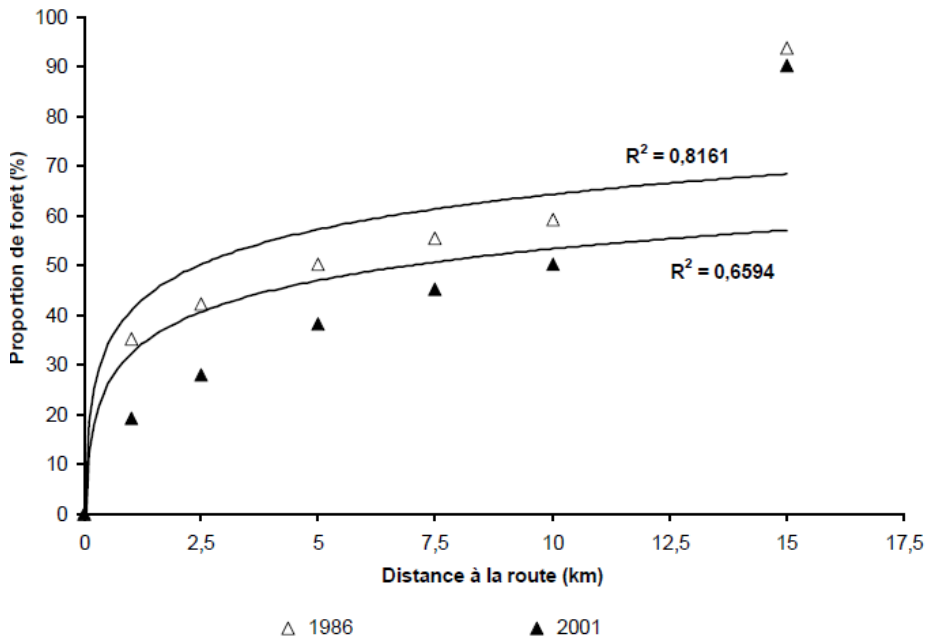


Figure 11: Change in Forest Proportion in relation to Distance for the Two Years Studied

These curves show that the amount of forest increases with distance from the road.

Econometric studies, one done by *N. Mbala et al*<sup>23</sup> shows the relationship of Kuznets between the GDP and deforestation in the Congo Basin, as has been shown by other authors in other groups of developing countries. Along with the work of Cropper and Griffiths (1994), Bhattarai and Hammig (2001) as well as Arcand et al (2008), this shows that long-term growth in GDP diminishes the area of forest cover after having first contributed to their degradation. However, the "rate of population growth" has a negative (but insignificant) variable coefficient. This result is explained in Boserup's (1970) theory, according to which a large population is synonymous with adapting intensive techniques. Finally, this study also took into account the amount of wealth created annually by the agricultural sector. This variable shows a significant relationship on the level of 1% with deforestation, showing that agricultural development is detrimental to forest areas in the Congo Basin countries. Generally, an economy oriented towards extensive agriculture has a higher rate of deforestation than others. However, for this last variable the authors think that the use of macroeconomic data to evaluate the role of agriculture on deforestation should be taken cautiously; a macroeconomic study would be important and would shed new light on the subject.

<sup>23</sup> N. Mbala et al, Revue Congolaise d'Economie Décembre 2011 Les Déterminants de la Déforestation dans les Pays du Bassin du Congo (December 2011 Review of the Congolese Economy Determining Factors of Deforestation in Congo Basin Countries), Volume 6 No.2 (pp. 2–23)

## 7. STATE OF THE HUMAN ENVIRONMENT

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### 7.1. AGRICULTURE AND ITS NEED IN FOREST LANDS

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Agriculture is the basic activity of the majority of the populations of Bantu and Sudanese descent, even though they are also devoted to husbandry (there are, on the dry edges of the savanna, groups of nomadic herders). It is slash-and-burn agriculture; the staple crop everywhere is manioc. Other crops are grown, mainly in association with manioc: corn in the West (all of Équateur, Bandundu and the two Kasaïs), has gradually become the main commercial crop, to feed the large cities, particularly Kinshasa; rice in the North and Center (Bumba, Kisangani, Haut-Uélé and Bas-Uélé), for the local urban markets.

Slash-and-burn agriculture on mainly sandy soil of the immense space produces relatively higher yields if the fallow period is at least 10 years; 12 tons of manioc, 1.5 to 2.5 tons of rice and corn. That is the rule in true forest areas where land is abundant. These yields drop to 8 tons of manioc where the fallow period is 5 years and 1.2 to 1.5 tons for cereal crops. The rotation includes one or two years of crops followed by 5 to 10 years of swidden fallows. This means that, for an annual crop from 1 to 1.5 ha on average, the farmer must have an area six to twelve times larger (including fallow land).

Also, a village of 100 households, each one clearing 1 ha each year, must allow 5 to 10 years, 50 to 100 ha to go fallow each year, between 0.5 and 1 km<sup>2</sup>. A village using the forest for long-fallow slash-and-burn agriculture would need a total area of between 5 and 10 km<sup>2</sup> with a minimum reserve of 5 km<sup>2</sup> to cover demographic growth over a 20 year term (50% demographic increase over twenty years, an average rate of 3%). Additionally, a village of 100 households must have at least 15 km<sup>2</sup> or 1,500 ha. Anything less than this area, its basic minimum to live is not assured. Such a village that occupies 3 km along the road needs at least a 5 km deep area, stretching in the direction of the forest, to grow crops. Any migration in the direction of this village can only create conflict. As a matter of fact, 5 km means a two-hour walk, round trip. The longer the fields are from the road, the longer it takes to get to the fields; this increases the work time (including the commute) and the difficulty in transporting harvests to the village.

These population movements happen especially when a road is repaired or rehabilitated. In order for a village to be able to grow and expand, it is necessary to ensure that the farmland is located between 5 and 10 km deep from the road. Otherwise, the economic advantage of the road would be minimum, and in the most tense cases of demographic pressure, harmful.

It should be underlined that such land needs do not characterize all of the forest or Congolese villages' near-forest. Many inhabitants live by hunting or fishing in true forest areas; the population of villages is rarely larger than 50 to 100 households. However, a village can and must be reconverted to agriculture when the need is there, thus it is necessary to better manage hunting and fishing resources.

### 7.2. POPULATION DENSITY

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The demographic of the forest area must be interpreted according to its farming occupation — the basis of life for not only farming populations, but also for urban ones, given their need for farmland, including fallow land, as has been explained.

Looking at arithmetic human densities, such as shown in Figure 9, the forest area seems very sparsely populated and the competition between the uses of space hardly seems realistic.

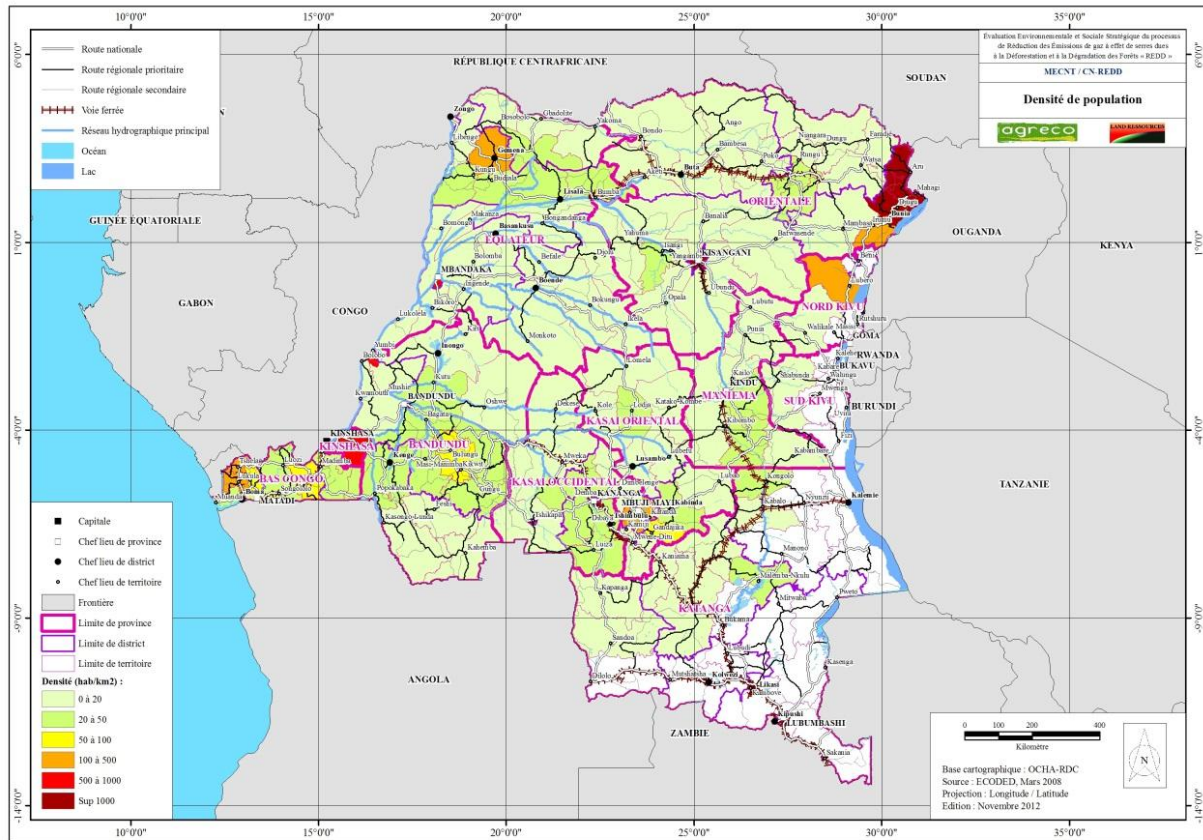


Figure 12. Population Density in Forest Areas

However, realistically there is a larger contrast; human density is actually concentrated along roads, and this phenomenon continues to increase for the reasons explained in the Living Conditions and Incomes sections.

For example between Kisangani and Banalia, the area is taken up by agriculture (fallow land and crop land for the year) on a 100 km long stretch of road at a depth of between 30 and 50 km (15 and 25 on both sides, with some points reaching a depth of 50 km). Such an occupation of the space generates **intense pressure on the forest fringes bordering the road**. In fact, the **need for new land** including swidden fallows, represented by demographic growth (3% per year) for the entirety of the population located along the transect is **entirely located on the forest fringes**, unless there is population movement either toward the city or to other agrarian space. The analysis of satellite photos, by the socio-impact study Pro-Routes on the city of Buta in Bas Uélé of the forest area shows that farm lands in the area have doubled in less than 20 years.

One point to note: the surface area, yields, reserves and the limits of the farm areas that have been previously presented depend entirely on the types of cultivation practices. Any change to the basic principle of these types of cultivation (slash-and-burn agriculture of forest land or fallow land) that results in reducing the fallow land changes all of these notions. That is why the **search for alternatives to long-fallow slash-and-burn techniques should be among the measures to diminish pressure on the forest**.

Agriculture completely destroys the original plant cover as well as biodiversity. Along with forest fires, it massively contributes to carbon emissions and impedes any regeneration of wood cover.

### 7.3. URBAN POPULATIONS: CONSUMPTION OF FOREST PRODUCTS AND FOOD SECURITY

Food security for rural populations has just been mentioned regarding consequences for the forest and its agricultural/logging contiguity.

The cities located around the Cuvette Centrale, those that depend at least in part for their food security on agriculture on the edges of the forest, are the following:



Cities	Population in Millions
Kinshasa	8
Mbuji-Mayi	3
Tshikapa	1.5
Kananga	1.5
Kisangani	1
Kikwit	0.8
TOTAL	15.8

*Administrative Sources and Investment Plan of the FIP.*

It is an urban population on the order of 16 million inhabitants that depend in a large part on forest products to meet their needs for obtaining lumber, firewood, charcoal, agricultural and non-timber forest products, not to mention of the high demand for wild game from the forest.

There are few detailed studies on the pressures exerted on the forest by these urban markets, specifically quantitative studies. However, the FIP reports historic deforestation in four large urban centers, Kinshasa, Kananga-Mbuji-Mayi and Kisangani:

**Table 9. Level of Annual Deforestation in Intervention Areas and Supply Basins in Kananga and Mbuji-Mayi and Kisangani**

	Taux déforestation annuel (%)				Taux déforestation annuel (%)		
	2000- 2010	2000- 2005	2005- 2010		2000- 2010	2000- 2005	2005- 2010
ZI Kan/Mbuji	0,67	0,68	0,68	ZI Kisangani	0,47	0,45	0,49
BA Kan/Mbuji	0,60	0,55	0,68	BA Kisangani	0,74	0,72	0,79

Source: FIP, 2012

As shown above, the rate of observed deforestation around large cities is much higher than the national average. This indicated that the needs of the city inhabitants cause intense pressure on the forest resources in the areas around cities.

Large trade flows go to other cities, which attract the attention of countries like Uganda (who buy large quantities of wood from Mambasa, thus the large forest, via Bunia, and Beni):

- Kinshasa essentially consumes corn and manioc from Bandundu, Bas Congo and Équateur. The Province Orientale exports very few farm products to Kinshasa. In Bandundu, the main area that supplies the city, most of the supplies do not come from the forested areas (Maï Ndombe), rather from Kwilu and Kwango. Kinshasa, however, depends somewhat on the equatorial forest area for its supply of corn for reserves for the lean season between August and December. Maï Ndombe (Bandundu) provides the majority of dried fish consumed in the city. This forest district in the future is going to play a decisive agricultural role in supplying the city, because the agricultural potential of Kwilu will be saturated (which it largely already is);
- Kisangani is supplied by its own forest environment, a radius of 150 km (road from Banalia, Opala, Isangi). Mining, which starting around 15 years ago, attracts large populations and creates a significant demand on the entire near-by forest area, in both plant products as well as bush meat. This phenomenon will only increase when the road to Ituri (towards Uganda) is opened to Maniema and Katanga, because of the Ubundu road and later, the renovation of the Ubundu-Kindu-Lubumbashi route;
- Kikwit depends on its own farming environment, which is largely anthropized. The forests on the right bank of Kwilu are threatened by small-scale logging, but not so much by farm activity.
- Kananga, Tshikapa and Mbuji-Mayi already depend on the forests north of the two Kasai's for their supply of corn (Kasai) and rice (Tetela). It is probable that the opening of National Route 1 will increase pressure on the urban areas of these two provinces, on their forest area and on Bandundu.

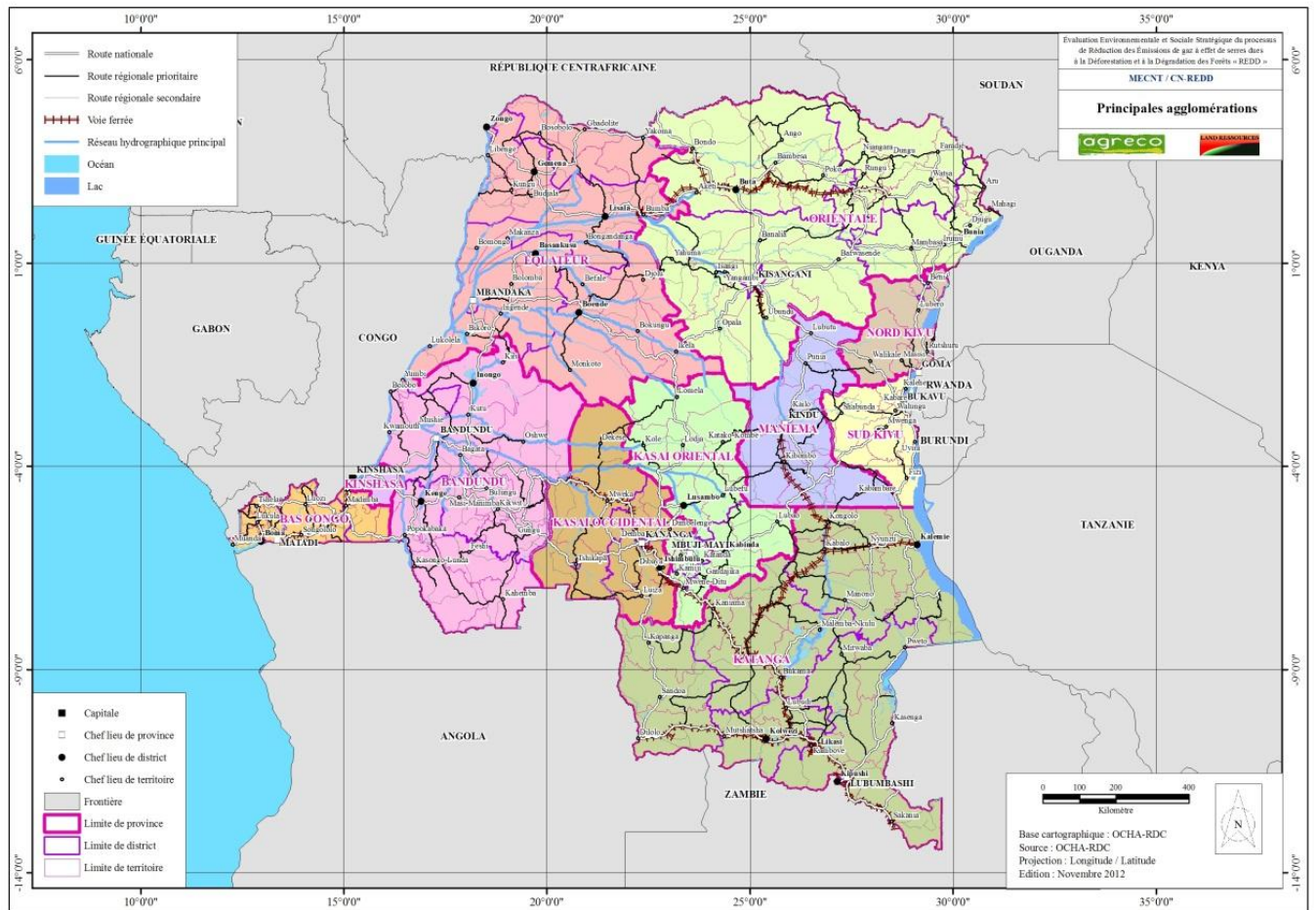


Figure 13. Main Urban Centers

In addition, the **Congolese Cuvette forests** increasingly make up the **supply basin of an urban population** that is growing (6% per year) **and of a rural population** that is growing. The demand is considerable, as much for wood as for non-wood forest products and staple foods such as corn and manioc.

The **situation is the same in Katanga**, which contains vast woodland forests: they are threatened by the demand for wood from urban areas expanding into the copper mining areas, and industry undergoing revitalization, and by the local agricultural products, which go hand in hand.

### 7.4. MIGRATION MOVEMENTS

Population movements are intense throughout the Congo. They are a daily reality in the rural area, including the Congolese Cuvette, since **mining** came to the area. All sorts of people are attracted by the mines: first the local populations, from several hundred kilometers around and then the urban populations. In Kahemba in Bandundu, for example, there are numerous miners and traffickers from Kinshasa. Conversely, **the cities and their markets** are highly attractive for rural populations. For decades, there have been back-and-forth movements between the city of Kinshasa and the backcountry, sometimes quite far away: at the same time, there is the rural exodus toward the city and the return back to the countryside. As there has not been a study into this, no one knows the number of people it concerns. The rehabilitation of the Nationale 1 road to Matadi gave rise to numerous returns to the countryside, first intermittently then more permanently. Already there are the same migrations on the Nationale 1 between Kikwit and Kinshasa. It is the same along the road to Ituri (where the return to the countryside is accompanied by a migration toward the north), as well as on the road going from Lubunga to Ubundu, in the Province Orientale. It is probable that important projects like Pro-Route, PARRSA [the Project to Support the Rehabilitation and Revival of the Agricultural Sector], and PADIR [the Project to Support the Development of Rural Infrastructures] have had non-negligible effects on these migrations and, in turn, on deforestation.

As is stated in the previous paragraph, since 2002 Katanga has seen a large increase in the flow of people, mainly from the two Kasais due to the expanding mining activity. Northwestern migrations of the Congolese, specifically to Rwanda and Burundi are

ongoing. This creates a great deal of pressure on the land and thus, on the forests in the entire region, not to mention their security and political consequences.

The population flow to Tshikapa is one of the largest and most spectacular migration phenomena of the last twenty years. A mining population of 1.5 million people amassed in an area that had a population of only a few thousand people in just a few years, a phenomenon that Mbuji-Mayi experienced in the '60s and '70s, even though it was more gradual because of the repression on small-scale digging sites.

These population and mining developments are threats to the forest environment due to agricultural clearing, as it is on the wild game in neighboring forests, on the parks and the natural reserves (certain city dwellers and miners have means that allow them to purchase bush meat). The increase of non-agricultural populations also has the effect of doubling the demand for wood products, such as charcoal, but also for lumber, used in large quantity for urban construction.

Within the Cuvette, there have been two major migrations these last few years:

- a) the diamond flow, which is pervasive along National Roads 4 and 6 between Kisangani and Bumba, as well as the majority of rivers crossed by these roads, and goes very deep even into the RubiTele Hunting Grounds. In the northeast of the Cuvette (Mambasa) this phenomenon includes gold and coltan;
- b) the migration of fishing populations all along the River network and its tributaries. Two tribes are known for their migrations: the Sakata of Mai Ndombe and the Lokele, but there are many other tribes as well. As a matter of fact, the codes that currently apply to fishing, and which have been in force for decades, prohibit ownership of fishing basins: **any citizen of the Congo may fish wherever he wants and is subject to no regulation**. These movements have a direct impact on forestry activity as well as the application of the Forestry Code. In fact, fishers, farmers and forest workers are all found near rivers, which are the wood-only evacuation route for the latter. In a very large part of the Congolese river network at depths around 10 km, the villages are also areas where the presence of "comers" ("*venants*"), non-native peoples, is very high if not the majority. The "customary communities", constituents of the Code of Specifications, are the same in terms of land rights, and often, activities. Very often, there are difficult relationships between these non-native populations and those who are from the area.
- c) In addition to these movements concerning the largest population effects, the movement of Pygmy populations must also be mentioned. These are nomadic populations, by definition; their migrations are related to the hunt for wild game and non-timber forest resources, but also for cultural reasons. They are also low-cost and sought-after workers for the Bantu fields (formerly, for the large plantations) and this is an additional and important reason for Pygmy migration. For example, on the right bank of the river, across from Lisala, there have been noted (from a PRO-ROUTES socio-economic impact study) several Pygmy communities from the Mbandaka-Bikoro area, several hundreds of kilometers away. These populations migrate regularly to Ubangi (Ngombe) to offer their services for seasonal crops.

To understand the tensions that currently exist in the villages of the Congolese Cuvette and all of the forested areas of the Congo, several factors must be taken into account:

- Fishing activities are troubled due to diminished consecutive catches related to non-sustainable fishing practices. The same can be said about hunting practices. It follows that **fishing (and hunting) revenues are down** and fishing communities must diversify their activities by including agriculture;
- In fact, land chiefs are the real holders of land use rights. In addition to being paid the NTFP obligations they are owed, land chiefs apply **restrictions against non-native populations to access the best land**, among whom are the migrant fishermen. This is a major source of tension;
- Refusing to sustainably allocate land to migrants also has **political connotations**; the indigenous people being the most demographically threatened, fear that access to land is a possible vehicle for political disenfranchisement;
- There are several areas where access to land constitutes an **ongoing subject of latent conflict**, more or less silent, with violent spikes. The most striking case highlighting Pygmies is that of Bikoro;
- The situation is particularly tense in the mountains in the East, where the availability of land is low or dwindling, and where the very active land market results in massive de facto dispossession of the indigenous populations. Access to the forest enters in to this conflict.

## 7.5. TRANSPORTATION INFRASTRUCTURES

Forest exploitation results in the removal of wood for the local or international markets. The Congo suffers a major handicap in this regard, due to the non-navigability of the river the last 350 km from Kinshasa. But, it profits from an admirable navigable water network upstream of Kinshasa, the river being the main drain. Thus, the useable forests for exporting are located along the river, at depths of up to 200 km. This handicap does not exist for the local supply market, the main one being Kinshasa, which is located on the navigable forebay of the river, likewise the cities of Kisangani and Kikwit, which are quite well stocked. The cities of Lubumbashi, Mbuji-Mayi, Tshikapa and Kananga do not have this advantage: they depend on the roadway, a much more expensive mode of transport than the river.

Note the transportation infrastructures in the DRC, all (current and potential) are means to transport wood and non-timber products from the forests of the Congo:

- The river, the main evacuation route of these products is not well marked; the same goes for its main primary and secondary tributaries. Navigating it is dangerous, exacerbated by regularly overloading ships and their poor general state, but also by poorly stowing lifeboats, which is a key means to transport logs to Kinshasa. Accidents are numerous;
- The operational ports have no equipment (they are loaded and unloaded by plank, without any lifting machinery in the majority of cases. The ports managed by the Congolese National Transport Agency, important investments of the '60s and '70s, even though they are mostly in working order, they are systematically avoided by professionals because the taxes paid there are deemed too much. Storage equipment at the ports are only shacks, and more often than not, not metal clad;
- Ports (and markets) everywhere are unsanitary places. Epidemiological studies conducted by the Minister of Health in Kinshasa showed that the Baramoto port, specializing in the commerce of dried and salted fish, is the location of the primary outbreak of cholera in the city, where epidemics generally start;
- Railways are in very bad state, necessitating systematic convoy stoppages, and causing regular derailments. Rolling stock is in a very bad state. The SNCC [the National Railway Company of the Congo] network (Zambie – Lubumbashi – Kamina – Mwene-Ditu – Kananga – Ilebo and Kamina – Kindu as well as Kalemie – Kabalo and Ubundu – Lubunga) only functions in an irregular and dangerous way;
- Routes and roads: the road network has seen large investments these last few years concerning evacuating forest products: **The Nationale 1** is almost entirely rehabilitated between Matadi and Kikwit via Kinshasa, with the exception of the Kenge/Mbankana stretch, which will be redone next. The road between the Loange river and the Mukamba lake will soon be rehabilitated. On this last stretch (Loange/Mukamba) it is probable that traffic from transporting planks of wood and charcoal headed for local markets, will increase when the route is rehabilitated (small-scale operations). Note that a considerable number of logging trucks operate on the Nationale 1 between Kinshasa and Matadi, which is a further permanent danger for the residents. Other strategic routes are being rehabilitated: **the Ituri road** to export to Uganda and the East; **the Nationale 4 and 6 roads** between Gemena and Kisangani, via Businga, Lisala, Bumba, Aketi, Buta and Banalia) and between Bolia and Bondo, in the north, towards the CAR; the Gemena to Zongo road, which allows transport to Brazzaville, the CAR and Cameroon, specifically in wood products; the road from Mongata to Bikor via Bandundu and Inongo, which will open up MaiNdombe. Many more routes and roads are undergoing rehabilitation work. Logging constitutes both an opportunity and a threat for these roads: an opportunity if the logging industry undertakes an effective, sustainable way to operate; a threat if they undertake minimal means and do not respect the weight constraints for bridges;
- Airports constitute a threat in regard to exploiting bush meat through the natural parks areas. Such is the case of Salonga, where the airports of the small surrounding towns are exportation sites for prohibited cured or fresh meat from buffalo, elephants and protected monkeys.



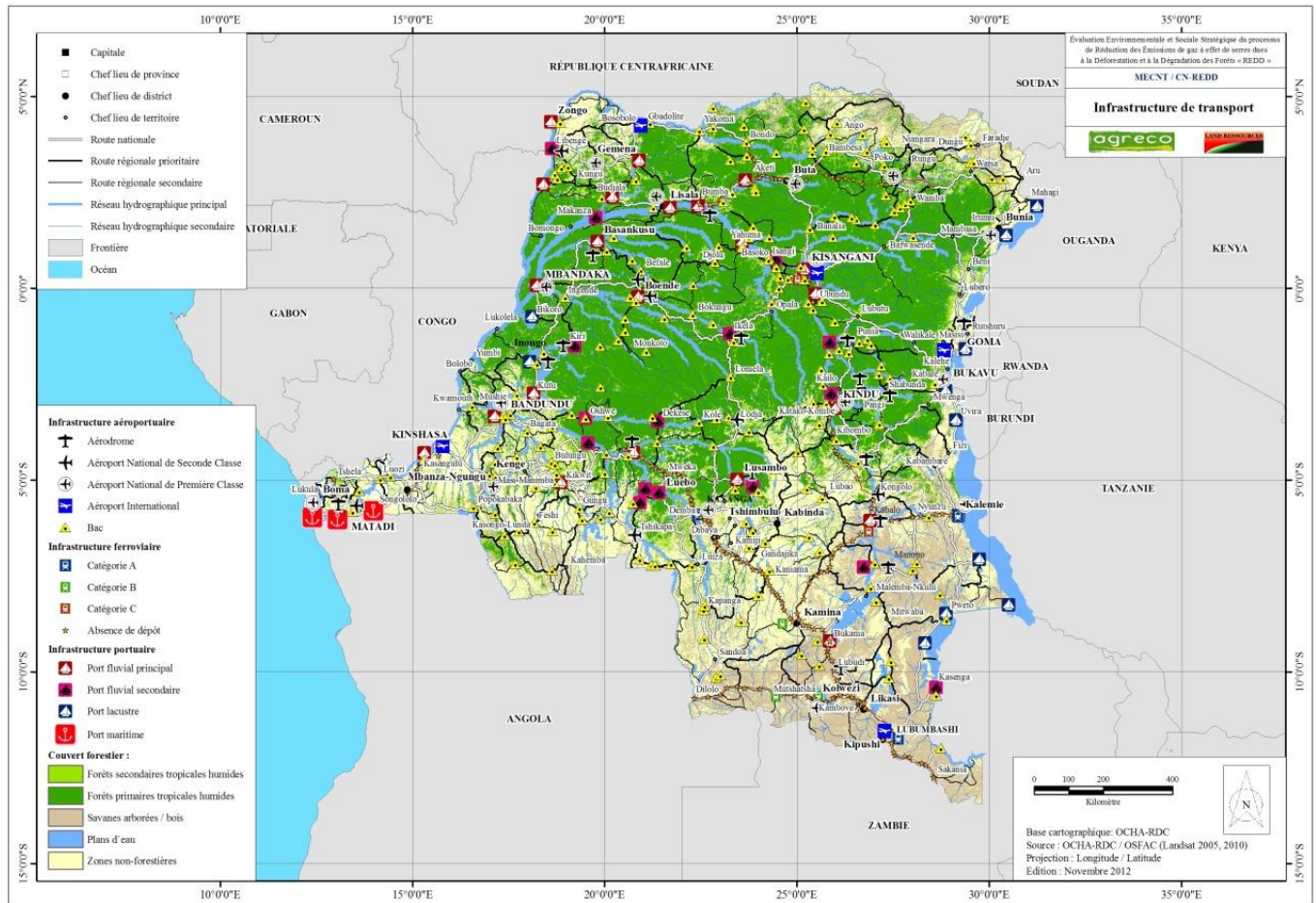


Figure 14. Transportation Infrastructures

## 7.6. LIVING CONDITIONS AND ACCESS TO SERVICES

The living conditions of the forest populations in 2008 were practically the same as before the 20<sup>th</sup> century:

- Dwellings are nearly exclusively cob with a thatch roof, rarely adobe, and only in exceptional cases, metal. In the Cuvette, outside of towns, the percentage of houses built with sheet metal is less than 5%. Inside houses, the lack of privacy is high and the number of rooms is insufficient. There are exceptions: along the road from Banalia to Kisangani, a practically suburban area, is undertaking a dynamic construction project in fired bricks. Generally, the quality of houses and especially roofs is better in the East than in the West. The reason for this is the cost of construction materials, which is higher in the West and in the Center in particular (a bag of cement is worth up to 60 dollars in Maniema because of the isolation of this region);
- The amount of household equipment is quite low: a mat is the usual bed, household utensils are rare and one frequently borrows cooking pots. Furniture is often in a poor state;
- The amount of equipment for economic activities is also low: between one and two bicycles per ten households, hoes and machetes in insufficient numbers and poor state (in the truly forested areas, they do not cultivate by hoe, but rather by machete). It is rare that a fishing encampment has a motor boat;
- Access to potable water is low everywhere, particularly in marshy areas, where drinking water almost always comes from the swamp or the river;
- Regarding health, parasitic infection and waterborne illnesses constitute a major cause of morbidity (intestinal illnesses, trypanosomiasis, various internal and external parasitosis, malaria), as do contagious diseases such as measles, and, in the last twenty years, sexually transmitted diseases and tuberculosis. This situation describes an overall state of health as particularly bad, with average lifespans declining and rarely longer than 50 years of age;

- Access to healthcare is difficult itself, and is particularly bad in the Cuvette: deplorable, dilapidated and unsanitary healthcare facilities, their rarity and remoteness, the lack of access to clean water, the absence of medication in the pharmacies, low levels of healthcare personnel, who are poorly paid, deplorable hygiene everywhere, competition from charlatans, self-medication and unlicensed medical facilities;
- Schools are nearly all in a bad state in the forested area. The quality of good teachers is low, the level of primary school attendance is below 50% for boys and even less (40 to 45%) for girls. It is also low for boys in secondary school;

This very negative general picture has local nuances. It is better in the urban areas and in the East; however, it is much darker in the forest areas.

The quality of life criteria presented are attributes of the modern world, to which, generally, local populations have no access. However, the considerable advantages of the forest and peri-forest areas must be put forward: food is generally abundant and varied, as is the relatively frequent consumption of fish and bush meat.

Between 2008 and 2012, certain projects notably enhanced the situation in the Province Orientale.

## 7.7. MAIN SOURCES OF REVENUES

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The monetary revenues of forest and peri-forest populations mainly come from the sale of agricultural products, fishing, hunting and gathering. For specialized populations (fishing, hunting), agriculture is a secondary source of revenue, but it provides the food staples.

These revenues are low, as all of the recent studies devoted to them show (DCSRP, SNSA-FAO on the Bas Congo, Katanga and Bandundu). For over 80% of the households interviewed by the SESA from PNFoCo, household revenues are less than 50,000 Congolese francs per year (equivalent to \$100) (SNSA). For example in Bandundu, the average household revenue may approach 350 dollars per year. It has to do with populations that have the possibility to market their production (manioc, corn, nuts, fish) somewhat easily. It should be noted that base revenues (from agriculture, fishing) are often supplemented in the forest area by gathering and transporting products (fibers, vines, leaves, fruit, cured meats). These practices are also accessible for remote populations of fishers and hunters. It is much harder for isolated agricultural populations, whose revenues easily fall to less than 150 dollars per household per year.

From the survey done within this current study, even though the population is not all forest dwelling, we find the amount of revenue in Congolese francs comparable to those from the PNFoCo study in 2008.



**Table 10. : Declared Incomes from Survey**

REVENU1 - Dans quelle tranche de revenu mensuel se situe votre foyer ?			REVENU		
Taux de réponse : <b>100.0%</b>			Taux de réponse : <b>92.3%</b> Moyenne = <b>110 530.44</b> Médiane = <b>50 000.00</b>		
Moins de 20000	<b>32</b>	<b>17.6%</b>	Moins de 20000	<b>29</b>	<b>17.3%</b>
de 20000 à 50000	<b>135</b>	<b>74.2%</b>	De 20000 à 49999	<b>46</b>	<b>27.4%</b>
de 50000 à 100000	<b>6</b>	<b>3.3%</b>	De 50000 à 99999	<b>49</b>	<b>29.2%</b>
de 100000 à 150000	<b>4</b>	<b>2.2%</b>	De 100000 à 149999	<b>15</b>	<b>8.9%</b>
de 150000 à 250 000	<b>5</b>	<b>2.7%</b>	De 150000 à 249999	<b>12</b>	<b>7.1%</b>
+ de 250 000	<b>0</b>	<b>0.0%</b>	250000 et plus	<b>17</b>	<b>10.1%</b>
<b>Total</b>	<b>182</b>	<b>100.0%</b>	<b>Total</b>	<b>168</b>	<b>100.0%</b>

In the first column is the income bracket, the second the number of people in this bracket, and in the third, the percentage of interviewees.

However, between 2008 and 2012, the value of the Congolese franc fell by half compared to the US dollar (\$1= 450 CF in 2008 and 900 CF in 2012), which means that in dollars, the incomes are considerably less.

These average amounts, very indicative, hide other realities: an illness in a rural family can manifest immediate poverty and, more or less, the absence of sustainable monetary revenues. On the other hand, young people lucky enough to have bicycle transportation or job at a mining dig, may bring in income on the order of 80 to 100 dollars per month. However, this income is still threatened by illness, as well as by misfortune, that can sink an entire family of miners into extreme poverty, not even balanced by the security net that the manioc fields provide.

For reference, here are several salary levels paid by industrial logging companies: the base salary for logging truck drivers is between 50 and 65 dollars per month. With bonuses, children, overtime, they can reach 90 dollars. The woodcutters that handle the chainsaws (they are called "chain-sawers") make around that same amount. Those who handle the machetes make 25 dollars per month in general and the mechanic-electricians have a better base salary of 80 dollars per month.

In 2008, total logging activity in the Cuvette, according to our estimates, amounted to around 10,500 direct jobs (Bandundu nearly 3,000, Équateur, 5,000 and the Province Orientale 2,500). Given an average salary of about 60 dollars per month with bonuses, it can be estimated that the local salaries paid represented a total monthly amount of about 630,000 dollars and an annual amount of 7,560,000 dollars. For comparison purposes, the annual revenue drawn from agriculture in the forest area of the three provinces, with a resident population of 3,000,000 people, or 500,000 households and an average monetary income per household on the order of 200 dollars, amounts to 100 million dollars annually. To these monetary revenues must be added food production of the populations concerned, and furthermore, food security of urban populations.

## 7.8. FOREST POPULATIONS

Even though they speak different languages and inhabit different regions of the Congo Basin, the indigenous communities, commonly called Pygmies share a certain number of characteristics. Among these groups, we find the Baka, the Bagyeli, the Bakola, the Ba'Aka, the Mbendelle, the Baaka, the Batwa and the Mbuti. The Mbororo, livestock farmers living in the savannas, are also recognized as indigenous peoples. With the exception of the Bantus, who are for the most part sedentary and long established in the villages, until recently the groups called Pygmies had a semi-nomadic way of life — only some among them still practice this — and make their living by hunting and gathering in the forest. They are accustomed to moving over great distances to procure the resources that they need. Traditionally, they do not amass material goods and do not exercise exclusive control over vast territories. Their social structure is typically egalitarian, with a very specifically defined hierarchy.

The policy and practice of the States of the Congo Basin reference "indigenous peoples" to indicate these groups formerly called Pygmies. That is not to suggest that the majority of Bantu groups are not also, in a literal sense, also indigenous to the Congo or on the African Continent. It is considered that use of the expression "indigenous peoples" allows attention to be drawn to the problem of groups particularly vulnerable in the country, problems related to their distinct identity and their non-dominant position in society.

The Congolese state is party to international treaties that guarantee the rights of indigenous peoples, such as the International Covenant on Civil and Political Rights, the International Convention on the Elimination of All Forms of Racial Discrimination, the Convention on Biological Diversity and the African Charter on Human and Peoples' Rights. All of these instruments and the jurisprudence of the decision-making bodies that oversee their application affirm the rights of indigenous peoples, among others, the right to property and to hold land, territories and resources that traditionally belong to them, the right to auto-determination and the right to share benefits. The African Charter on Human and Peoples' Rights, for example, affirmed in 2010 that "with regard to consultation, the criteria are particularly and strictly in favor of indigenous peoples, since it also requires that they give their consent". In addition to the provisions of the World Bank regarding consultation and participation the Congolese government decided to apply the principle of free, prior and informed consent for the activities and projects of its REDD+ National Program. This is important given the low level of participation of Congolese right holders, including indigenous peoples and rural communities, making decisions related to the areas touched upon by REDD+.

In the DRC, the Batwa populations of the Équateur province are more sedentary than the Bambuti who live in the Province Orientale. In the Équateur province, the Bantu and Batwa populations each depend on the forest. Small areas of forest (less than 1 ha) are set aside for agriculture in the traditional swidden fallow system.

In the case of forest populations located around or in proximity to the Salonga National Park, the Bantu and the Batwa share a history of displacement and internal migration set off by the ethnic wars that took place near Mbandaka toward the end of the 19th century. These wars forced a part of the Mongo and Batwa populations to move from the Mbandaka-Bikoro region towards the East (the Monkoto and the Bongandanga Territories, in the Équateur Province) and the Southeast (the Oshwe Territory, Bandundu Province). (WWF, 2006; WRI-AGRECO, 2006).

The war and demographic pressure in the East of the DRC caused large-scale population migrations in the Ituri forest, and an influx of farmers, miners and bush meat sellers. They are the main threats to biodiversity in the forests and to the life of the local populations.

The Nyanga and Lega elders in the majority of the villages consulted in the equatorial forest of the lower regions of Kivu say with much bitterness and regret that the "abundance and diversity of caterpillars, mushrooms, birds, fishes, crabs, game and harvests left with the ancestors, their masters, that the current generations trampled their laws! The latter are no longer seen; the ancestors have withdrawn, taking with them all of the natural riches that bring joy, pride and prosperity to the forest peoples." (APFT, vol III, Central Africa Region, 2000).

Over the last several years, the indigenous populations of the DRC have seen a better accounting of their specific needs in the framework of development projects, specifically with the involvement of the World Bank and certain NGOs.

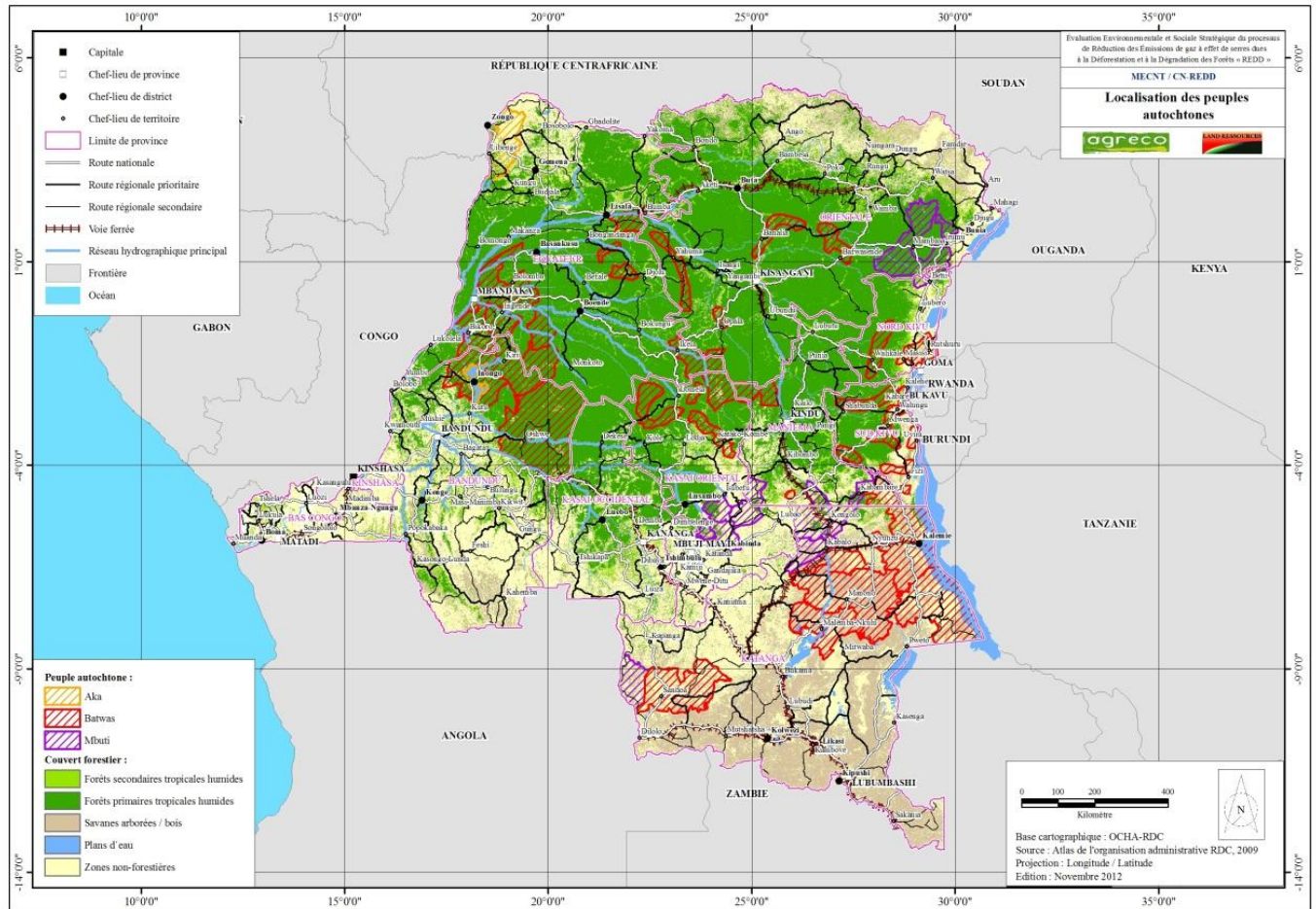


Figure 15: Settlements of Indigenous Forest Peoples

### 7.8.1. INTER-ETHNIC RELATIONS

The historic marginalization of the Batwa populations by their neighbors, the Bantu, is still seen today. This dynamic is visible in the logging sector. The Bantu still consider the Batwa as an inferior people (Rapport socio OI, October, 2006) and the Batwa refuse to submit to the Bantu and claim that their customs are different from the Mongo (Bantu) groups (Salonga report, 2006: 31).

*"We come from Équateur... Our ancestors refused Nkundu domination, which wanted to make us 'devoted Pygmies,' but we refused... So we decided to live isolated in our own area. This is how a group of Pygmies migrated to the Oshwe territory, in Lokolama, and another group stayed in Kiri, in a village called Bisenge 2. "* (WWF, 2006: 25)

The following discriminatory aspects have been uncovered by several studies and interviews, among others (CENADEP-CEIDB Report, January 2005):

- Police and administrative harassment, extortion of goods (wild game, caterpillars, etc.) especially on market days;
- Obligatory tolls paid to Bantu administrative and customary authorities;
- Notorious injustice for any suit where a Pygmy is opposite a Bantu;
- Bantu impunity when the rights of Pygmies have been violated;

The "indigenous peoples" represent only a tiny party of the total population that occupies the forest area, a situation that has spawned political and social movements and even those of environmentalists to attempt to protect their rights. They have kept a hunter-gatherer lifestyle, more or less nomadic, even though others have become sedentary of late. Certain groups are mixed (for example, Bikoro).

The Pygmy people maintain complex relationships with the agricultural village populations for whom they do field work or with whom they exchange goods and services. These interactions between neighbors vary greatly, from occasional acquaintances to very close ties. All of the ethnic groups are equal under the law, but in the majority of cases, indigenous people are considered

slaves; in addition, they are marginalized and do not have access to land and resources as other groups do. They are not respected and make no effort to gain respect, choosing rather to avoid confrontation. The majority work as sentries or guards.

Conflicts arise between Bantu groups (the Nkundo and the Ekonda in Bikoro). The forest boundaries are subject to conflict between different groups because they do not respect the right of access of the forests. They each reciprocally violate territories. Hunters create camps in other groups' areas and vice versa.

In regard to logging, new legal provisions related to agreements between loggers and resident populations favor direct negotiations between the stakeholders (specifications).

The Bantu and the Batwa thus have the right to negotiate directly with the loggers, in order to choose the benefits that are best for each population. However, the Bantu territorial authorities always try to control the benefits from exploitations of the Batwa populations located in or around the logging concessions.

In volume 3 of the report "Les peuples des forêts tropicales d'aujourd'hui" [The Present-Day Peoples of the Tropical Forests] (2000) the APFT analyzed the relationship of the Kivu people with protected areas. This relationship, though ever changing, remains strained even though several positive experiences exist. Of all of the ethnic and socio-economic groups of Kivu, the Pygmies are, without doubt, those whose lives have been most affected by the presence of national parks." The creation of protected areas further accentuates their economic, social, political and cultural marginalization, and, not owning land, they must rent out their labor force to other ethnic groups for mediocre and paltry pay and food. Furthermore, Pygmies, who have community fields, are unable to enhance them because of a lack of seeds and tools, and because they are constantly needing to work for a pittance for food. However, drawing on lessons from the past, it should be possible to create national parks with social and economic promotion tools for the Pygmies.

## 7.9. POPULATIONS AND CONTROLLED ACCESS AREAS

Fundamentally, REDD will install in the intervention areas either forest management regulations that will engender the reduction of degradation/destruction, or new techniques that will limit the usage needs of the forest (agro-forestry, harvesting with fertilization, etc.) and forest products (micro-hydraulic, improved stove, etc.). In several of these cases, changing access to or use of the forest will be necessary for REDD principles to be achieved.

Due to the lack of any REDD pilot projects in the execution phase, the consultant went to the populations living on the borders of protected areas (PA) to verify essential points related to the relationships between legal administrators of these lands, traditional administrators and the populations that use these areas.

It is obvious, from focus groups in the villages living in the protected area border areas, that:

- The limits of these PAs is largely unknown;
- Prohibited actions are not precisely known;
- Compensation, when it exists, was not negotiated equitably;
- Traditional chiefs and other notables gain the benefits of these negotiations;
- The loss of use is neither recognized nor punished by the managers who impose access restrictions;
- The boundaries and prohibited activities are not respected because they are often unknown.

**This shows that actual practice is far from being what is expected in regard to social measures, benefit sharing and managing conflicts within the framework of a substandard REDD+ project.**



## 7.10. CHALLENGES OF PARTICIPATION IN THE DRC

The internal legislation of the Congo integrates adopting public decisions with the notion of participation. Article 9 of Law number 11/009 of July 9, 2011 carries fundamental principles regarding protection of the environment:

*"Everyone has the right to participate in the decision-making process regarding the environment and managing natural resources.*

*The public participates in the public authorities' process for creating policies, programs, plans and regulations relating to the environment within a transparent and equitable framework defined and implemented by these authorities.*

*The public also has the right to participate, from the beginning and all throughout the process, the decisions that may have an effect on its existence or have an important effect on the environment, specifically regarding provisions, authorizations for a project or activity, exploitation or construction authorizations of facilities, emissions as well as environmental and social impact studies. It has the right to be informed of the final decision.*

*The rules for public participation in the decision-making process regarding the environment are defined by Ministerial Decree."*

Nevertheless, at this stage, the decree that establishes the conditions that must be put in place for this participation has not yet been signed.

Analysis of the regulatory framework of this country related to land and agriculture shows that texts related to these activity sectors up to a certain level guarantee certain legal traditional rights of local communities that seek to avoid demands on land that bear upon the space they occupy and that infringe upon their traditional land rights. These guarantees are within the investigation procedure related to vacating land within the Land Rights Law of 1973. They are insufficient, in that they allow neither the right to participation nor the right to share revenues from exploiting the areas and local resources. In the case of indigenous peoples and others, such as the forest communities that still practice collective land rights and decision-making, ensuring the right to participate, that includes free, prior and informed consent currently sought by the Congolese government in the REDD+ process, constitutes a significant step forward (Calmel, 2012).

Having a consultation strategy for the national REDD+ strategy in the DRC with the potentially affected population, which is so dispersed over such a vast territory where means of communication are limited, remains a big challenge. Discussions and decisions concerning REDD+ must be done in a way that allows communities prior access to information related to the strategy and initiatives of REDD+. This participation contributes to the long-term efficiency of compensation measures in efforts for combating deforestation and degradation of the forest. In addition, these measures are to ensure that members of the forest community, indigenous peoples and civil society have their rights upheld, in an open and effective participation in the decisions that may have an effect on their rights or their well-being.

The vastness of the DRC's territory and the necessity to travel by airplane between urban centers, in addition to the technically ambitious debates and the disproportionate amount of information, make it impossible to undertake an adequate and efficient participation process in a short time period. This challenge and its associated costs must be taken into account in the consultation strategy. The long-term success of these activities rests on the effective participation of indigenous peoples, tribal forest populations and other parties (Calmel, 2012).

The Decree creating the monitoring structure, adopted in November 2009, put forth the national mandate regarding coordination to "incite and ensure a participative handling of the REDD process by including and consulting the stakeholders." The involvement of all of the "stakeholders" is thus an obligation for the Congo. The Congo has also engaged itself in the Social and Environmental Standards developed by the Community Climate Biodiversity Alliance (CCBA) (REDD+ SES, *REDD+ Social and Environmental Standards*). Also, a project called *Methodological Guide for Free, Prior Informed Consent in the Framework of the REDD+ Process in the DRC* was adopted by NC-REDD+ and will be tested and improved.

### *Participatory Management Experiences*

Several tentative instruments and bodies, official and non-official, regarding spatial planning and participatory management of natural resources have nevertheless been developed:

*Official Bodies:*

- Negotiating Committees and Local Management Committees. In developing the specifications for a logging company plan, a negotiation committee meets — as its name indicates — to negotiate the social clauses between the concession-holder and the resident populations. Once these specifications are validated, a management committee takes over to manage and monitor putting these social clauses in place. The Local Management Committee is composed of a delegate for the concession-holder and at least five elected representatives from the local community(ies) and/or indigenous peoples.<sup>24</sup>

*Non-official Bodies or Those in the Process of Being Recognized:*

- Rural Agricultural Management Committees (RAMC). Developing RAMCs is an initiative of civil society supported by the Coopération Technique Belge (CTB) and the Italian NGO ISCO, to allow concerted decision-making in the territories. The RAMCs function as territorial parliaments. Their activity is recognized by local authorities, specifically the Territory Administrator, who validates the development plans. However, they are not state structures nor have they been legally recognized. They are voluntary structures that consult the private sector, farming associations, universities, civil society, the administration and those elected to the provincial assembly. They gather regarding the territory and allow communication and exchanges between different stakeholders to be strengthened. A Provincial Consulting Council supervises the development plans of the territories and the provincial agricultural policies. Sector and chiefdom representatives are members of the RAMC, due to lack of a constituted power on the sector level.<sup>25</sup>
- Local Development and Conservation Committees (LDCCs). The LDCCs are groups of people who unite voluntarily and elect representatives to defend their interests. LDCCs do not replace the government in place and are not structures recognized by the state, nor are they associations for production — rather, they are considered a body of reflection and action for the development of the village. They may be an intermediary between the communities and other institutions such as the state, the concession-holders and the development projects. Within the logging arena, they facilitate collaboration between communities and the concession-holders, specifically in the Bas Congo. The legal reforms to the DRC's logging sector in 2002 introduced the obligation to contribute to local development by financing infrastructure and social collective facilities that benefit the resident populations. Given that resident populations are highly lacking in their organization and social production modes, developing functioning structures that allow dialog with other stakeholders in the sector is supported. The LDCC is formed of a maximum of 13 members (a president, a vice-president, a secretary and three to ten counselors, by theme or interest group). LDCCs are developed in villages or population groupings. The president is not by default the head of the village nor the chief of a group. It is an elected post, voted by the inhabitants of the village during a general elective assembly (ONFI 2012).

*Participatory Land-Planning Instruments:*

- Participatory Mapping of Community Territories. In Bolobo territory, the development of participatory maps of the village territories (or the community territory) is supported by the WWF. Community territories are intermediate entities between villages and groupings. They are delimited by belonging to a community of the same customary authority (land chiefs) and with the same administrative authority (heads of municipality). The participatory maps of community territories are descriptive documents that sensitize the villagers to the issues of sustainable management of the territory. The objective of this project, other than the delimitation of community territories, was to produce maps of how the land is occupied (forest, forest/agricultural mosaic, savanna, habitations) and how the land is used (habitations, pastureland, agricultural areas, forest areas with habituation project for bonobos, etc.). With these maps, the objective is to rationalize land use and to ensure that forestlands are maintained, with large involvement of the communities.

<sup>24</sup>Ministerial Order 023/CAB/MIN/ECN-T/28/JEB/10 of June 7, 2010 setting the constituent agreement of the social clause of the Specifications of logging concession contracts (MECNT, 2010).

<sup>25</sup>The information on RAMCs is found in different documents, including the Descriptif sectoriel et stratégique de la politique provinciale de développement agricole 2008–2013 [the Sectoral and Strategic Descriptor of the provincial policy of agricultural development from 2008–2013] from the Ministry of Agriculture, Fishing and Herding from the province of Bandundu (2008) and the Manuel d'élaboration d'un plan de développement agricole [Manual for a Plan of Agricultural Development] from the CTB (2008).



Moreover the *Guide méthodologique de planification du développement local* [the Methodological Guide to Planning and Local Development] laid out within its Programme d'appui à la décentralisation et au développement local [Program to Support Decentralization and Local Development] (PADDL) financed by UNDP, the UNCDF-FENU, the DFID, USAID and the CTB, foresees the Grouping [*le Groupement*] as the basic unit for performing the planning process, given the size of certain sectors/chiefdoms in terms of population and geographic space. It is at this level that the data from the participatory planning operations in the areas/villages will be harmonized and consolidated and will allow a local development plan to be realized.<sup>26</sup>

Four working axes are necessary to ensure an inclusive and participatory approach to land management and the recognition of different land rights:

- Facilitating projects initiated and carried out by civil society (and specifically by local communities and indigenous peoples) and by the private sector;
- Community support for forest management;
- Clarifying land ownership and reinforcing forestry governance;
- Involving the private sector.

This participatory management happens through reinforcing a territorial vision of resources and through cooperative interfaces and common decision-making between stakeholders of the forest sector (administrative users going through the private sector). It must be formalized by developing tools for utilization planning and land use of the forest.

The participatory approach to managing forest resources must take into account the decentralization process of the DRC that is part of the new Constitution and in the process of being introduced. The collaboration between the customary powers and administrative authority is also an important contextual element and must be taken into consideration (Calmel, 2012).

## 7.11. EXTERIOR PRESSURES AND PERSPECTIVES

Sustainable forest management may be rapidly thwarted by the search for non-renewable natural resources such as oil and mining products.

Currently, mining and oil activities are reduced in the territory. It is likely that with securing the territory and the economy opening up, a good number of mining and oil permits will be given out in the central Cuvette. Once a mining title is established, it will be extremely difficult to use the territory for conservation or other purposes. For this reason, Article 275 of the Mining Code entitled *Indemnity for Expropriation* is clear: " Mining facilities or jobs can be seized by the state only under exceptional circumstances set by the law, fair compensation shall be paid to the holder at least six months before executing the decision to seize."

Upon reading this Article, it is clear that turning areas that have mining permits into protected areas is nearly impossible. However, Article 6 of the same Mining Code gives the President of the Republic the right to decree areas that are forbidden to mining operations.

What about spaces for the REDD+ project? Will they have preferential rights above the mining and oil concessions?

The existence of logging concessions next to protected areas without natural limits may cause many conflicts. In order to allow the populations to exercise their agricultural activities and their long saws to have a source of wood, the State has enacted a system reserving free corridors of the forest spaces around villages and even in the interior of the forest, located between the logging concessions or in the vicinity of the protected areas. More and more, the logging concession holders are covetous of these corridors and claim rights to their exploitation in disregard of their initial allocation.

Forest areas to be protected are currently at risk of disappearing due to **mining permits and industrial logging concessions** which destroy the possibility of conserving part of these areas (this is a reality in countries such as Madagascar and Gabon). Efforts to create new protected areas may be in vain if the areas protected are not rapidly closed off to any mining and/or industrial logging concession activities.

<sup>26</sup>MDAT (Undated) *Guide méthodologique de planification du développement local*. [Methodological Guide to Planning and Local Development]. Within the PADDL framework. P. 14.

Regarding the exploitation of natural resources and relations with the local communities, the approach between the logging, mining and oil sectors working in the same territory runs the risk of being very different, especially in terms of royalties for the local populations and the specifications to negotiate (which do not exist in the Mining Code). **This situation will cause major confusion, and risks of destroying any participatory process within REDD+.**

These problems of superimposition come about frequently during the consultations that were done, as well as land conflicts between ethnic groups or clans.

The risks related to these overlaps of different land uses are largest in the central Cuvette, where the presence of hydrocarbons is nearly certain. Only large exploration programs can reveal this richness. In cases where identifiable exploitable hydrocarbon reserves serve all of the local, regional and national economy, strategic choices must be made to ensure adequate management of these revenues. At the moment, there is a lack of transparency in the oil sector of the DRC.

It is known that over 70% of the source of the Congo River originates from rains from the evapotranspiration of the forest watershed. The Inga hydroelectric production projects depend in part upon the maintenance of the forest. Even though there is no recent study defining the relationship of the forest area and the source of the river, it is clear that **the future of the DRC's electric production is linked in large part to the future of its forests.**

A large part of the massive deforestation of the rural forest is due to the need for household fuelwood. This deforestation may in part be avoided if alternative energy sources available at an affordable cost are offered to rural and urban households. The planned work to create a second electrical wire between Inga and Kinshasa may allow a certain part of the population to benefit from electric energy. The Inga-Shaba high-tension wire that passes near large population areas serves very little of the population, and is basically used by mining exploitation industries. However, the use of electricity in certain large urban centers along this line would allow deforestation to be reduced.

Providing electricity to rural areas may be the basis of a deforestation strategy in that electricity in rural areas would be an alternative to fuelwood.

The country has no reforestation strategy, though the need is great. The large deforestation areas are located near large cities, and it is clear that this deforestation is directly related to the needs of these urban centers. The economic reforestation done on the Batéké plateaus may be a model for a reforestation strategy that would allow many people an escape from poverty. The results of the following part of the study show that land use problems have a significant influence on deforestation and forest degradation, as do traditional agricultural practices.

## **8. GOVERNANCE AND MANAGING ENVIRONMENTAL AND SOCIAL RISKS**

The national REDD+ strategy aims to propose a useful framework written into and reinforcing the existing administrative structure, while ensuring participation of local communities and the adoption of strategies for land management. Fears of this link are not limited to the national REDD+ strategy. The proposed solutions regarding the organizational and financial structure must be integrated within and reinforce the administrative structure in place in the DRC. It is a complex program seeking both to adapt government policies and to finance various projects on a large area of the Congolese territory.

### **8.1. THE CHALLENGES LINKED TO THE CAPACITY TO MANAGE ENVIRONMENTAL AND SOCIAL RISKS.**

The issues related to the implementation of a REDD+ strategy are many, including improving the quality of life by reducing deforestation and forest degradation; compliance with national laws and international commitments; biodiversity conservation; and respect for the rights of indigenous peoples, their lands and their culture.

REDD+ would involve a number of legal, regulatory, institutional and structural reforms. It will be important to ensure that this process of sectoral reforms takes into account the environmental and social impacts. The SESA is a known way to get there. Without

the SESA, the rules of the World Bank (Operational Policies) and the country itself may not be met and the reforms could have very significant negative impacts. To avoid delays and significant costs, the SESA must be internalized by the government. This involves a process of capacity building and institutional arrangements described in the ESMF and other safeguard instruments.

The REDD+ process does not bring more uncontrollable impacts than the many existing projects in the country. Nevertheless, the risks related to REDD+ management processes are closely linked to the national capacity to implement an environmental and social management processes of large scope. This ability has not yet been demonstrated (e.g., the Pro-Route project funded by the World Bank). The country's capacity to ensure the environmental management of the REDD+ process remains a major challenge both for the implementation of the REDD+ National Strategy and for this strategy to be recognized as following the DRC's international commitments and the safeguard policies of key technical and financial partners of the country.

The challenge is not to mitigate the impacts (because these are mostly known and foreseeable impacts) but to ensure that the organization responsible for managing REDD+ can provide a proper framework for the environmental and social management process and take the necessary decisions for its operation. The challenge is to ensure that, regardless of the financing of REDD+ projects, environmental and social standards are applied and that the process is documented and controlled. It is also necessary that the environmental and social performance of the projects be part of the project goals and tracking.

One of the main objectives of the SESA process is the strengthening of institutional arrangements and national capacities for managing environmental and social risks. The REDD + program would result in national coordination and improved risk management capabilities. The expected effects are reliability and improvement of environmental and social data, improved management of these risks, the national REDD+ strategy developed through a participatory approach and an institutional framework for coordination of strengthened policies and reforms.

## **8.2. SOME CHALLENGES RELATED TO LAND TENURE IN CENTRAL AFRICA AND THE DRC**

In a large part of Sub-Saharan Africa, the supremacy of formal law is relatively weak; this means that customary institutions and laws play an important role in decisions related to the use of forests and natural resources. Informal extra-judicial factors such as personal or economic relationships and interests, kinship or ethnic links, as well as cultural norms play a much larger role than formal institutions. These distinctions are important when considering how property and land rights are determined and exercised, as well as during development of land reforms or managing natural resources.

In the DRC, land rights are characterized by a duality between modern law and custom. Additionally, anyone requesting an area of land must present prior approval from communities (represented by their traditional chiefs) to the competent land authorities before any concession title for a portion of land is granted. Usage rights are always tied to a payment of consideration made to the customary landholder. Customary land use right of the Bantu, which were initially mostly clan rights, in which the chief only managed the usufruct, bit by bit became patrimonial rights of the land chief and his lineage, which he can use limitlessly, to the point of definitively dispossessing by official sale himself and other clan members to the great displeasure of his clan. It is no exaggeration to state that the patrimonial link reinforced by the land law benefiting the chief is in this way the cause of large community dispossessions in the DRC, and the cause of many conflicts these last few years.

In general, African countries have taken longer than Latin American and Asian countries to begin to recognize the rights of indigenous peoples and communities regarding land and forest resources. With the exception of Cameroon, which established community forests in 1994, and Mozambique, which created usage and cultural and historical value areas and community logging concessions in 1999, all of the other countries' regimes approved community forest land tenure after 2000 (RRI, 2012).

Formal land rights arrangements vary significantly across Africa. In several cases, the States hold formal ownership of all the land (for example, Cameroon and the DRC) while in other countries, the primacy of private land tenure dates from the colonial period (as in Kenya and South Africa). However, in the majority of countries, the dominant tendency is State land ownership with variable degrees of local recognition of land rights (either *de jure* or *de facto*). Several countries have a legal framework for community forestry, but progress on the ground is still limited. In Central Africa, there are often areas for community forestry around protected areas, nevertheless, real control exercised by the communities is often cramped (IIED, 2012). Community logging concessions are notably emerging in the DRC.

According to the Congolese Constitution, the State exercises permanent sovereignty over the soil, the subsoil, the waters and the forests, the air, river, lake and maritime spaces as well as over the territorial sea and the continental plateau of the Congo. The law also recognizes the local communities' usage rights in customarily owned forests. Nevertheless, in the DRC, community-logging

concessions cannot be put in place because of a lack of regulation that defines the rights and the processes by which these rights shall be recognized in practice. Legal and political adjustments and constant political engagement are necessary if the communities are to obtain these rights.

In the DRC, the government is in the process of putting a governance regime in place, which is already written in the Political Constitution and is focused on decentralization; but this reform is not yet finalized and thus the required institutional reforms are not yet included. An important question regarding legislative and political reforms related to forest management is how they can be better integrated with the day-to-day informal collective management of resources that continue to be important elements of the economy and communities of the Congo.

### **8.3. ESSENTIAL ASPECTS RELATED TO FOREST GOVERNANCE AND SHARING FOREST BENEFITS**

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At the level of forest and land governance, there are several challenges, including in relation to the legislative context. For now, in the absence of coordination of policies on land use, the multiplication of uses (not always consistent) on the same land and the lack of harmonization across territories represent major challenges. The forest sector stakeholders deplore the lack of a common vision and the many conflicts that it generates. The main stakeholders in the forest sector have proposed the development of an action plan aiming to develop such vision. Issues raised include the juxtaposition of state structures, weak forest control, lack of capacity of local communities to participate in the negotiation of specifications, weak capacity of local and provincial administration, logging benefit sharing, non-involvement of local communities and indigenous peoples in decision-making, etc. (ONFI, 2012).

The Constitution of February 18, 2006 established decentralization as a way of politically managing the country, and it instituted three levels of State power, namely Central Power, Provincial Power and Decentralized Territorial Entities (DTEs), which are the cities, the communes, the sectors and the chiefdoms. Its Article 3 states that the Provinces and the DTEs are empowered with legal capacities and enjoy free administration and autonomy to manage their economic, financial, human and technical resources. To this end, they are managed by local bodies.

Since the Forest Code came about prior to the Constitution of 2006, the Provinces' and DTEs' responsibilities have not been defined within the Code. The distribution of powers regarding territory planning and managing forest resources remains unclear. Nevertheless, Central Power has exclusive rights to develop agricultural, forest and energy programs of national interest and the coordination of programs of provincial interest. The Provinces have exclusive rights to develop agricultural, forest, mining, mineral, industrial, and energy programs of provincial interest, as well as their execution, in accordance with national planning norms. The result of this is that Central Power and the Provinces have competing rights regarding environmental protection, natural areas, the countryside and area conservation in addition to regulations regarding energy, agricultural and forest regimes.

This decentralization process is still quite incomplete. Province boundaries have not yet been redrawn. Additionally, it must be noted that the lack of capacity and means within the Provinces is a major obstacle to exercising their power and taking the initiative (Calmel, 2012).

The framework of Environmental Law (Law 11/009) must ensure, among other things, that the different governmental policies take into account the principles of sustainable development. However, this law is still devoid of its implementing regulations. REDD+ needs environmental and social frameworks, standards and norms that the country must put into place so that its framework law can be applied. Thus, Law 11/009 must be put into place and a national standardized environmental evaluation process must apply for all investment.

Application of Law 11/2002 of August 29, 2002 containing the Forest Code is weak throughout the country. Regarding community participation in forest management, it contains a certain number of innovations compared with prior texts. Nevertheless, these innovations often pose difficulties or are not applied in the following conditions:

Cutting down forests according to their identification (classified forests, permanent production forests and protected forests) which are as a matter of priority, dedicated to local development, conversion and other uses (Articles 10 to 23).

Public consultation with the resident population before classifying a forest for conservation or production (Article 15) and public inquiries before concession rights are granted (Article 84).

Maintaining traditional use rights in the areas granted (with the exception of agriculture; Article 44).

Local communities' rights to themselves manage forests that they hold under their customs, through the concept of "community concession" or "community forest" (Article 22). Due to the lack of the necessary legislative framework, community forests as established by the Forest Code have not officially been put into practice (even though initiatives exist in the country).

Collaboration with resident communities when concessions are established, specifically through the "Specifications" (made obligatory by Article 89) and their "social clauses."

Sharing exploitation benefits, specifically with an investment of 40% of the tax based in the surface area in basic community infrastructure (Article 122).

Congolese law says very little on what types of communities are affected by forest legislation. However, it states that local community is "a traditional population organized on a customary basis and united by clan solidarity or kinship, which is the foundation of its internal cohesion. In addition, it is characterized by its attachment to a specific territory."<sup>27</sup> In any case, the general access and usage rights of forest resources as stated in the Forest Code and the Constitution of the DRC are applicable to individuals and not specifically to communities or indigenous peoples (RRI, 2012). In fact, a large part of the insecurity related to community lands comes from the adoption of property laws, concession laws, or national park authority to expel forest inhabitants from the land who do not hold it by formal means, but who are often customary rights holders. Once this law is adopted, any person who does not have explicit access rights (or permission to enter from the landholder) and who is found on the territory in question may be expelled and even pursued for violation of property rights. However, even if access rights are recognized by the Constitution of the DRC (local community logging concessions), putting these rights into place, in practice, is not yet possible due to the fact that the respective regulations have not yet been adopted. As a result, communities live on these lands at the discretion of powerful stakeholders, state or otherwise, or until this land is put to another use or sold to a private owner (RRI, 2012).

Analysis of the regulatory framework of this country related to land and agriculture shows that texts related to these activity sectors guarantee up to a certain level certain legal traditional rights of local communities that seek to avoid demands on land that bear upon the space they occupy and that infringe upon their traditional land rights. These guarantees are within the investigation procedure related to vacating land within the land rights law of 1973. They are insufficient, in that they allow neither the right of free, prior and informed consent (FPIC) nor the right to share revenues from exploiting the areas and local resources. In the case of indigenous peoples and others, such as the forest communities that still practice collective land rights and decision-making, ensuring the right to participate, that includes free, prior and informed consent currently sought by the Congolese government in the REDD+ process, constitutes a significant step forward.

To finance building infrastructure for the benefit of local communities, the Forest Code instituted a fund called the "Development Fund" in accordance with Ministerial Decree 023 setting the model agreement that constitutes the social clause of logging concessions contract specifications. This Development Fund is made up of rebates from concession-holder transfers ranging from two to five American dollars per cubic meter of lumber taken from the logging concession according to the classification of the particular species. This fund is managed by a Local Management Committee (LMC) composed of a delegate for the concession-holder and at least five elected representatives from the local community(ies) and/or indigenous peoples. In addition to a president, designated by the members of the Local Community and/or indigenous peoples and working under the supervision of the local community's and/or indigenous peoples' chief, the LMC is composed of a treasurer, a reporter secretary and several counselors. Upon request by the local community, the logging concession-holder accepts that a representative from the civil society be part of the LMC in the role of observer.

The Development Fund from the logging concession-holder is deposited with a third party, to be defined by common agreement of the parties, if other banking facilities are not available. Given the absence of banking institutions in the rural areas, these funds are often left with the logging concession-holder, by mutual agreement of the communities. In these cases, the logging concession-holder agrees to make these financial resources accessible to the LMC, by means mutually agreed to by the parties. In order for the social clause to be put into place immediately, so that work profiting the local communities can start, the logging concession-holder commits to pledging a pre-finance amount of 10% of the total cost of infrastructure work, when the social clause is signed. This 10% constitutes an advance on the rebates to pay on the amount of wood taken in the exploitation area that includes the 4 or 5 annual allowable cuts and is reimbursed at the end of the period in question.

<sup>27</sup>Forest Code (2002) Article 1, Paragraph 17.



This instrument must be negotiated between the logging concession-holder and the communities. Negotiation power often depends on the capacity of the stakeholders, the communities often being the weakest stakeholders. In order for communities to have real gains, their institutions, formal and customary laws and negotiation capacity must be recognized and supported.

Given the relative difficulties of retroceding or deducting the Royalty per Area (RPA) established by Article 122 of the Forest Code, the social code of the Specifications is, to this day, the only mechanism for the local communities and residents to reap the benefits from logging operations.

Lastly, the land rights administration is experiencing difficulties on many levels. Aside from the lack of financial means from the national government: the lack of managers and trained technicians and support in favor of training institutions; the lack of office space (remoteness from the land title registers' users); the lack of logistic means to cover the entirety of the territory of each conscription; the lack of technical equipment for topographical surveying; the lack of awareness of forest law by the land registry technicians as well as by those subject to it; and recruitment not necessarily based on competence.

Support measures for institutional coordination and efficacy of measures to improve forest governance and land use are set out in the ESMF and the different safeguard instruments. The specific components related to capacity building are also included in these instruments.

## 9. PREPARATION OF REDD+ IN THE DRC AND ITS EVOLUTION

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The Democratic Republic of the Congo is one of the first countries to embark into REDD+ readiness. The country has finished preparing its national preparation document for REDD+ (the *Readiness-Preparation Proposal* or R-PP), and \$3.4 million was obtained to support the key activities defined in the R-PP. The REDD program in the Democratic Republic of the Congo is supported by numerous international partners, including the ONU-REDD program of the United Nations and the World Bank via the *Forest Carbon Partnership Facility*(FCPF) and the *Forest Investment Program* (FIP).



## 9.1. PREPARATION ACTIVITIES

The preparation phase grants the country all of the structures, instruments and capacities necessary to demonstrate to international investors the progress undertaken to reduce deforestation. This phase puts basic components in place for the REDD system in order to progressively integrate them into a functional mechanism.

The REDD system modules are the following: carbon accounting, reference levels, emission reduction strategies, follow up and verification, the sale of emission reductions. Different stakeholders come into play in each of these processes, whether during implementation, the formulation of policies or aspects related to financing. The figure below summarizes these modules:



Figure 16. Components of REDD+

### 9.1.1. CARBON ACCOUNTING

Carbon accounting is one of the key elements that distinguishes REDD projects from traditional forest protection strategies. Even if numerous deforestation reduction efforts may result in a net benefit in the form of the reduction of GHG emissions spewed into the atmosphere, a REDD system must explicitly quantify this benefit by using recognized methodologies to receive recognition of this benefit.

For this reason, carbon accounting serves as the base of the REDD modules presented above. Carbon accounting uses satellite remote sensing data to measure and monitor changes in the land uses and the terrain inventories to measure the density of forest carbon in order to measure the net gain or loss of carbon in the forest system.

Remote sensing data calculates the level of annual deforestation in terms of the area of forests converted to other uses. Land inventories calculate the amount of carbon in the existing forests, as well as the potential uses of the lands that have replaced the forests, such as for agriculture. The combination of these two data sources calculates the total annual level of carbon emissions. This calculation also serves as a basis for determining a baseline level of deforestation in the country.

It should be noted that studies that will be used to determine the carbon accounting of the Democratic Republic of the Congo are currently underway. Certain steps have already been completed:

- A satellite map of land use has been completed (updated with satellite images from 2010);
- This data has been integrated with the *National Forest Monitoring System*, undertaken and put online by the Ministry of the Environment, Conservation, Nature and Tourism at the following internet address: <http://www.rdc-snsf.org/>

- The DRC has published, the last time in 2009, its national inventory of greenhouse gas<sup>28</sup>. This inventory includes data on the storage of carbon by the forest, but its precision level is not sufficiently high enough to satisfy REDD+ system criteria.

Even subsequent steps must be carried out to develop an operational national system of carbon accounting. In addition, forest inventories must be carried out to complete the carbon accounting step. Forest inventory and carbon quantification methodologies must be chosen and developed.

### 9.1.2. REFERENCE LEVELS

A national system of carbon accounting is necessary to credibly establish reference levels for deforestation and forest carbon emissions associated with it. Reference levels are essential elements to demonstrate the "additionality" of greenhouse gas emissions reductions gained thanks to REDD policies.

For the purposes of the REDD system, additionality is simply defined as "reductions in greenhouse gas that are additional compared with those that would not be accrued without the REDD mechanism". A reference level is thus the level of GHG emissions (coming from deforestation and/or forest degradation) that would happen in the absence of financial mechanisms and interventions on the land.

Establishing reference levels requires the choice of one or more standardized methodologies. These methodologies require collecting a multitude of data and information, which could include the following:

- Maps of the territory distinguishing intact forests, degraded forests, agriculture, mining areas, road infrastructures, etc.;
- Data on carbon stocks received from inventories;
- Estimated level of deforestation;
- Detailed data on the volume of wood removed and the removal methods;
- Data from local and national governance;
- Knowledge of the economic development policies and plans<sup>29</sup>.

Reference levels are a key component to the REDD mechanism because the financing from which a country may gain is calculated on the improvement (the decrease) of its national level of deforestation compared to its reference levels. As a result of this, credible reference levels are very important in determining the financial compensation that a country or a project may receive.

As establishing reference levels requires data on carbon stocks, which cannot be obtained without a national carbon accounting system, the DRC's reference levels have not yet been established.

### 9.1.3. REDUCTION STRATEGIES

Payments from a REDD mechanism based on diminishing the level of GHG emissions from a country's forests, must have reduction strategies for deforestation and forest degradation. These strategies must efficiently tackle the deforestation or degradation factors in the project area. The strategies used in the REDD mechanism may be similar, or not, to those used for decades by land managers or ecologists to combat against deforestation.

The strategies must allow credible and verifiable reduced emissions, must be additional compared to actions that have been put in place outside of REDD financing, and must aim for permanent protection of the forests.

Developing a national strategy is done with the help of information gathered by research and experimentation. At the research level, a study on deforestation factors in the DRC was completed in December 2012<sup>30</sup>. In addition, a certain number of pilot projects from NGOs, private companies and the African Development Bank were initiated to test certain strategic options. It should be noted

<sup>28</sup><http://unfccc.int/resource/docs/nat/rdcnc2.pdf><http://unfccc.int/resource/docs/nat/rdcnc2.pdf>

<sup>29</sup> NORAD, "Real-Time Evaluation of Norway's International Climate and Forest Initiative, Contributions to National REDD+ Processes 2007-2010, Country Report: Democratic Republic of Congo." 2010

<sup>30</sup> DEFOURNY, DELHAGE ET KIBAMBE LUBAMBA, "Analyse quantitative des causes de la déforestation et de la dégradation des forêts en République Démocratique du Congo" [Quantitative Analysis of the Causes of Deforestation and Degradation of the Forests in the Democratic Republic of the Congo]. Université Catholique de Louvain, UCL/ELI Geomatics, 2012.

that, up to this point, very few information returns have been produced by these pilot projects, due to slow implementation and coordination difficulties for follow-up efforts and reporting from those conducting these projects regarding REDD (NC-REDD).

A consultative approach was also used to develop the national REDD+ strategy. Thirty thematic consultation groups were formed to establish the national strategy, based on their experience and the information supplied by the studies and pilot projects cited above. The representatives of these groups were then divided into 7 work groups who gathered in workshops from April 9 to 27, 2012 to develop the bases for four national programs. The results of these workshops were then collected to be reviewed by members of the thematic committees. A project of a national REDD+ strategy was prepared by people associated with REDD. The final version is not yet completed. The unveiling of the national REDD strategy for the DRC is planned for the United Nations Framework Convention on climate change in Doha on November 26 to December 7, 2012. The most recent strategic process is discussed in the next chapter of this study.

### 9.1.4. MONITORING, REPORTING AND VERIFICATION (MRV)

The monitoring, reporting and verification (MRV) system seeks to ensure monitoring, on the national level, of the REDD+ system, of its financial flows and the results that it generates regarding emissions reductions. Its development comes from the principle that reductions in emissions must be monitored and verified in order to be "sellable." Its proper functioning depends on the implementation of a functional carbon accounting system. Regarding the forests, the MRV may be compared to the annual updating of the reference levels described in the previous section.

To achieve it and ensure efficient follow-up, the MRV system must have several prongs and components. The following figure schematizes the general structure that the NC-REDD is currently considering.

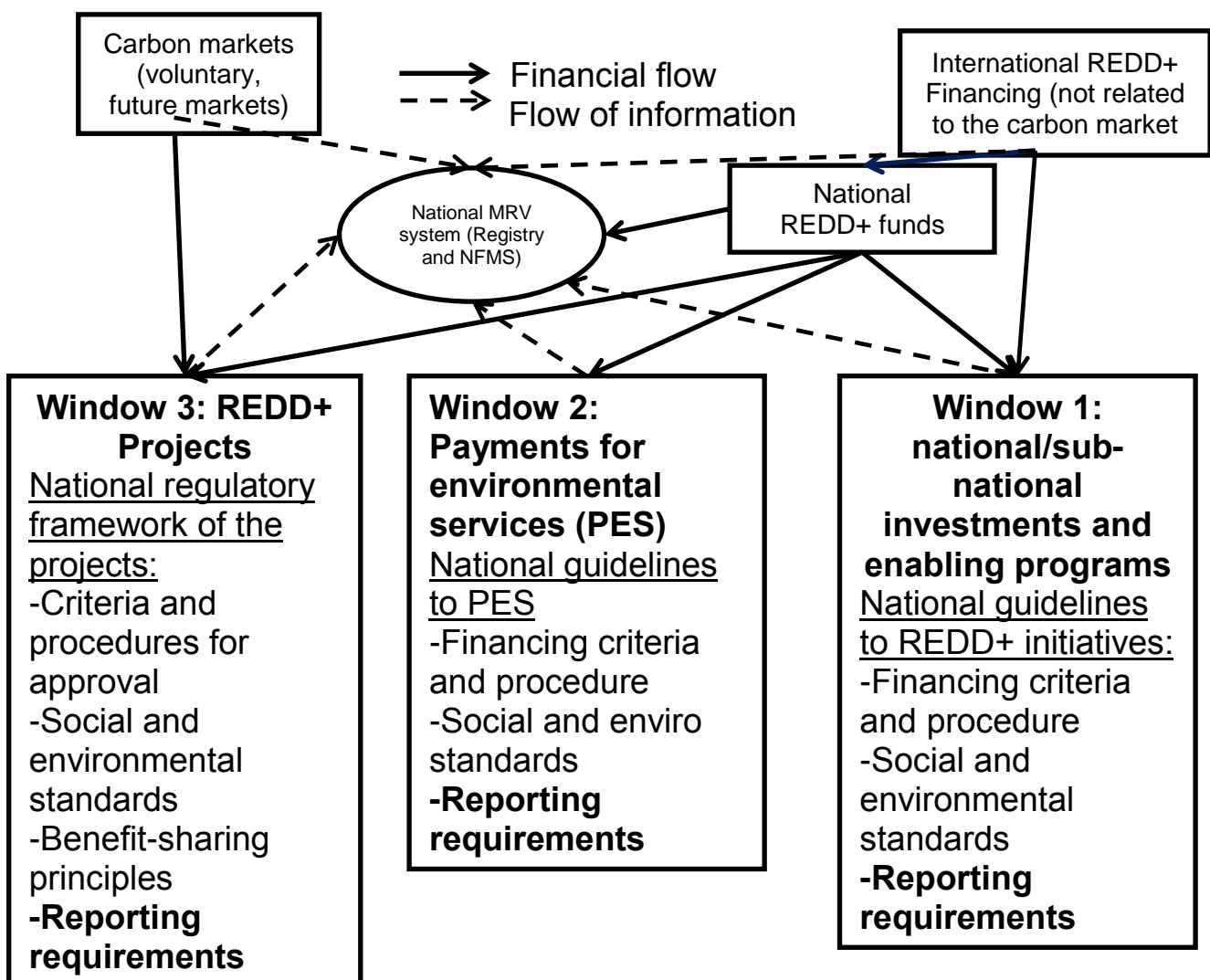


Figure 17. Architecture of the MRV System

Thus, we can see that the MRV system is not content to only do the follow up on deforestation, but also on all of the components of the REDD+ program to ensure its success.

Satellite follow up of the area must be feasibly sought during the entirety of the program to ensure that emissions reductions are permanent. The process for developing a follow-up strategy is described in the R-PP<sup>31</sup>. The *National Forest Surveillance System of the DRC*, mentioned above, administered and put online by the Ministry of the Environment, Conservation, Nature and Tourism<sup>32</sup> will be the consolidation and communication instrument of information gathered by the MRV system.

The architecture of the national MRV system remains unclear today. Finalizing its rules, criteria and procedures that are part of its elements must be clarified, so that REDD may become operational in the DRC.

### 9.1.5. FINANCIAL INCENTIVES

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The final objective of the REDD+ program is that, once the entire REDD system is put into place and that the reduced emissions of a REDD project or program have been verified and certified, they can be put up for sale, either through carbon trading to a private buyer, or in exchange for transfers made by a public funds. The transfers are based on "carbon credits" and are generally recorded in a carbon registry so that they cannot be resold several times. The sale price of these credits will depend on credit supply and demand, as well as the quality of the credits up for sale and the needs of the buyer.

The financial flow of from REDD financing activities and projects will be complex and will depend on the specific stakeholders involved. REDD projects and activities will bring together several stakeholders, the composition of which will depend on the approach mechanism and the area concerned. In general, the stakeholders include international political decision-makers, national governments, local authorities, project developers, local communities, buyers, research institutions, local and international NGOs and government agencies. Different stakeholders will participate in financing the REDD system, implementing REDD or designing REDD policies. Some stakeholders may also be involved in several aspects of a REDD mechanism.

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<sup>31</sup> R-PP, Prong 4.

<sup>32</sup><http://www.rdc-snsf.org/>

## 9.2. DIFFERENT PHASES TO COME

Progress on the general activities for the REDD preparation phase are presented in Table 11 below. The complete phases are identified in green boxes and those still incomplete are in red. **This table was produced in August 2012 and updated in December 2014.**

**Table 11. : Progress of the Preparation Phase and Activities to be completed**

Preparation Phase			
Component	Activity	Completed (Y/N)	Comments
Carbon Accounting	Satellite map of land use and changes in deforestation	Y	
	Integration of the satellite map with the National Forest Monitoring System of the DRC	Y	Data has been integrated with the National Forest Monitoring System of the DRC, undertaken and put online by the Ministry for the Environment, Nature, Conservation and Tourism at the following internet address: <a href="http://www.rdc-snsf.org/">http://www.rdc-snsf.org/</a>
	Training forest inventory teams	Y	Training undertaken in 2010 with the financial and technical support of the ITTO, FAO/UN-REDD, JICA, and the US Forest Services. In all, about 80 technicians were trained in carbon forest inventory. A capacity building process has been put in place at the MECNT (continuing education, internships in Japan, activities on the terrain, etc.). A four-year action plan of the National Forest Monitoring System of the DRC (SNSF-RDC 2015–2018) is available at the MECNT/DIAF [Department of Forest Management Inventories].
Establishing reference levels	Choice of methodologies for quantifying forest carbon	Y	A methodology for measuring forest carbon stocks is already identified by the DIAF/MECNT. It combines analyzing satellite images of forest areas with forest inventory data collected on the ground.
	Conducting national forest inventories	Y	National forest inventories are being conducted in two areas. With the technical and financial support of the FAO/UN-REDD, a pre-inventory has been conducted since 2012 in 8 provinces of the country (out of 11 provinces); this is being completed by forest inventory underway in the pilot province of Bandundu with the technical and financial support of the JICA, also since 2012.
	Compiling inventory data, calculation of reference levels	N	The data being collected will allow the RDC to estimate its first reference levels trends in 2016.
Development of a national strategy for	Training thematic consulting groups/thematic committees	Y	The groups are trained and operational

<b>Preparation Phase</b>			
<b>Component</b>	<b>Activity</b>	<b>Completed (Y/N)</b>	<b>Comments</b>
<b>reducing deforestation</b>	Participatory workshops developed for national REDD strategy Version 0	Y	Workshops held in Kinshasa from April 9 to 27, 2012, Strategy V.0 submitted to NC-REDD
	Submitted Strategy V.0 to the Thematic coordination (TC) team to develop Strategy V.1	Y	Strategy V.1 produced by the TC
	Provincial consultation campaign to obtain feedback on strategy V.1	Y	Consultations in the provinces to produce the final version of the National Framework Strategy
	Integration of the provincial consultations and consultations of a second layer of stakeholders in Kinshasa	Y	Second layer consultations were held in Kinshasa the last week of June 2013.
	Combining the results of all of the consultations and production into a final version of the National REDD Strategy	Y	The national REDD+ framework strategy was finalized and validated in November 2012 and presented to the International Community at the COP 18 in DOHA.
<b>A national system of Monitoring Reporting and Verification (MRV) launched</b>	Development of MRV procedures to monitor the forests	N	No final information on this subject
	Development of MRV procedures to monitor the other pertinent elements	N	No final information on this subject
	Development of MRV procedures to monitor the financial flows	N	No final information on this subject
<b>Financial Incentives</b>	Defining the financial incentives distribution mechanisms in the country	Y	Consultant recruited to conduct a study on sharing mechanisms for benefits from REDD+ in the DRC In addition, the DRC has created a procedure manual in its National REDD+ Fund that determines the procedural mechanisms related to REDD+ financing on a national level.

It should be noted that nearly all of the incomplete activities above must be accompanied by large capacity building programs for them to be implemented in the country.

### 9.3. THE INSTITUTIONS INVOLVED

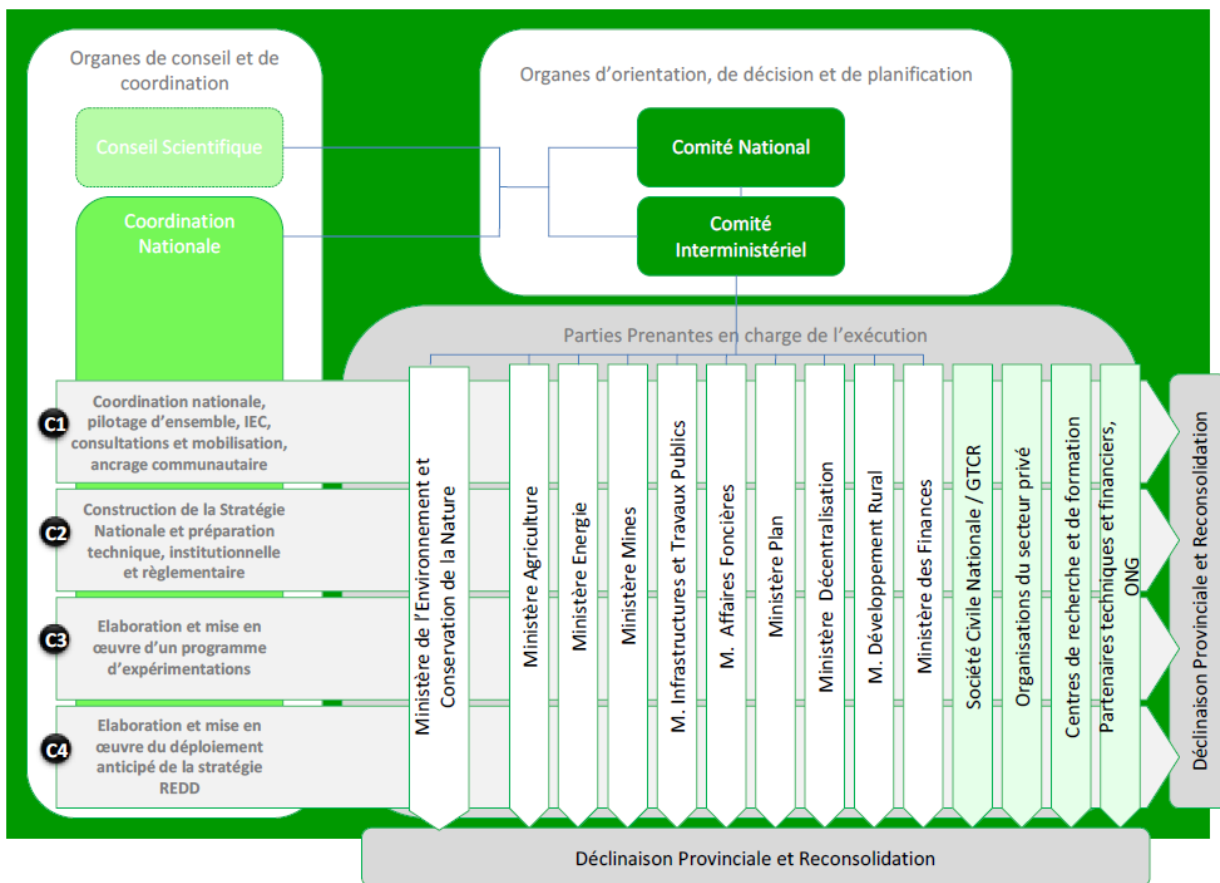
The structures put in place for the preparation phase of REDD in the DRC are described in *Decree Number 09140 of November 26, 2009 regarding the creation, composition, and organization of the implementing structures for the process of reducing emissions from deforestation and forest degradation, or "REDD"*, hereinafter called the "Decree of 2009."

According to the R-PP of REDD in the DRC, these structures must be modified for the investment and operations phases. However, information concerning organizing the relationships between the intervening bodies to implement the REDD program are still being developed. The *Ministerial Decree number 004/CAB/MIN/ECN-T/012 of February 15, 2012 establishing the approval procedure for REDD+ projects*<sup>33</sup> (hereinafter the "Approval Decree") was recently adopted to establish an approval process for REDD+ projects on Congolese territory, and specifies the institutions involved in this process. The documents for developing a National REDD+ Fund contain information on the structures that will be put in place for the financial management of REDD.

<sup>33</sup> This decree is apparently being contested, and a revision of it is being requested by different parties.



The structures for implementing the preparation phase of REDD are described in the *Decree of 2009*. The operating flowchart is presented in Figure 18 below.



Source: R-PP of the DRC

Figure 18. Preparation Phase Flowchart for REDD

### 9.3.1. NATIONAL REDD+ COMMITTEE

The National Committee is the chief decision-making body of the REDD+ in the DRC. It is composed of 14 members from different institutions, civil society and the private sector, appointed by Decree from the Ministry of the Environment, as proposed by the President of the National Committee. Its mission consists of:

- Defining the guidelines and directive of the REDD process and deciding which actions to take;
- Approving work plans of the Inter-ministerial Committee and the National Coordination Committee;
- Ensuring the follow up, monitoring and evaluation of the implementation of the REDD process;
- Putting a national fund in place and establishing the management and redistribution conditions of the subsidies and resources coming out of the REDD process (Decree of 2009, Art. 4–5).

### 9.3.2. INTER-MINISTERIAL COMMITTEE

The Inter-ministerial Committee (hereafter called the "IC") is the channel between the National REDD Committee and the competent government bodies who play a role in the implementation of REDD+ activities. Its mission consists of:

- Planning the National Committee's decisions and assigning responsibility for their execution to the competent State structures;
- Identifying and mobilizing national and international techniques to tackle the problems to the REDD process's implementation encountered on the ground.

It is under the Ministry of the Environment and is composed of delegates and ministers concerned by the occupation or exploitation of areas designated by their respective administrations, and it is appointed by Decree from the Ministry of the Environment. The administrations represented are the following:

- Environment, President;
- Agriculture;
- Land Affairs;
- Urbanism and Habitat;
- Rural Development;
- Plan;
- Finances;
- Mines;
- Energy.

The IC may occasionally appeal to other organizations that may assist in fulfilling its mandate (Decree of 2009, Art. 7–8).

### 9.3.3. REDD NATIONAL COORDINATION

The REDD National Coordination (NC-REDD) is the technical body to carry out REDD+ preparation. It is supervised by the Secretary General of the Environment, assisted by the Office of Sustainable Development (MECN-T [Ministry for the Environment, Nature, Conservation and Tourism] Office). It is made up of:

- The National REDD Coordinator;
- The principal technical counsellor;
- Counselor for information, education and communications;
- Administrative and financial assistants.

Its team is formed by the Ministry of the Environment, appointed by Decree on the proposition of the Secretary General of the ministry, and may be reinforced by technical consultants and/or counselors put in charge by REDD's financial partners. Its mission consists of:

- Ensuring the day-to-day management of the national REDD coordination and follow up with the activities in the annual work plan so that they meet the expected results;
- Formulating for the Ministry of the Environment propositions for members of the Technical Expert Committee or the Scientific Counsel and ensuring the mobilization of national and international experts;
- Providing for the Technical Secretariat of the National Committee and the Inter-ministerial Committee;
- Ensuring coordination of REDD process in the DRC with other governmental initiatives and funders in the forest area, including the link with PNFoCo [the Congolese Forest and Environmental Sector Project], the thematic group in charge of the forests as well as the regional REDD process of the Central African Forest Commission;
- Inciting and ensuring a participatory undertaking of the REDD process by involving and consulting different stakeholders, especially forest communities and indigenous peoples.

## 10. VIEW OF THE REDD+ NATIONAL STRATEGY FRAMEWORK

The national REDD+ Strategy of the DRC is the document defining how the country will put actions into effect to combat deforestation and forest degradation, until 2030. It is a high-level document, of broad scope, the objective of which is to provide a direction for the DRC's initiatives to reduce the rhythm of deforestation and forest degradation in its territory.

The National REDD+ Strategy is thus a quasi-legal document, as it is a political document that sets the guidelines for the actions that will be authorized to combat deforestation and forest degradation in the country. In addition, any project or program seeking REDD+ designation must be able to demonstrate that it falls within the framework of the National Strategy and its activities are authorized by it. It is applicable to public REDD investments and private REDD and PES projects, as well as other types of REDD activities, which will be described in section 6.3 below.

Despite this constraining characteristic, the National REDD+ Strategy is a dynamic, non-static document that can adapt to the practical realities that will inevitably be discovered bit by bit as the program advances. Furthermore, it is probable that the first version of the National Strategy (in the validation phase as of November 2012), which will launch the program in the country, will be updated in the following years to amend, add or withdraw elements.

## 10.1. PREPARATION PROCESS FOR THE NATIONAL REDD+ STRATEGY

Preparation for the National REDD Strategy will be done through both a participatory as well as a consultative process. First, a Version 0 of the strategy was created in a participatory manner within this strategic environmental assessment through multiple workshops held in Kinshasa, between April 9 and 27, 2012. The consultants organized and held a series of sequential workshops structured around the attendees thinking of ideas to create drafts of the strategy. The consultants then grouped these ideas into four (4) sectoral yet interdependent strategies. A summary of the development process and the results that came out of it are in the annex of this report.

In addition, the identification of strategic pillars (7) within the DRC's National REDD+ Strategy is largely inspired by the analyses done in the framework of this strategic environmental and social assessment. The pillars related to Land Use, Spatial Planning and Governance were identified as the potential negative impacts that the national REDD+ activities could have in regard to the environment, and also in regard to the communities dependent on the forests.

For each strategic pillar, a deep contextual analysis was done revealing the main factors that characterize the thematic on a national level in relation to the environment and the populations. The activities thus proposed relate to their efficiency in responding to the main challenges of the sector from a social and environmental point of view.

The SESA mission started in February 2012, though the National REDD+ Strategy was not yet developed. Therefore, it is necessary to have a very precise idea of the main axes or sectors of the National REDD+ Strategy to better analyze the potential risks related to them. The consultants involved in the SESA (the consortium AGRECO-Land Resources) took advantage of this occasion to propose new SESA methodology that would allow a great number of involved stakeholders to participate in the national REDD process through first-layer consultants organized by members of the Thematic Coordination Groups (TCG). These are technical groups involving representative participation of different stakeholders, such as representatives from civil society, specifically the GTCR [the REDD climate working group], and local and indigenous communities.

As it is easier to avoid potential risks from implementing an activity from the moment of its conception, rather than to envision mitigation measures for an already defined program policy with well-known activity, the involvement of the SESA at the conception of the DRC's National REDD Strategy draws broad lines in terms of strategic pillars, as well as in terms of activities to be developed with the least negative impacts on the communities, and the environment allowing the country to reach its REDD+ objectives.

The consultants organized a first series of consultations over around 40 days in March and April of 2012 to prepare for the SESA. The objective was to include the largest number of stakeholders, including representatives from indigenous and local communities, in formulating Version 0 of the National REDD+ Strategy (V.0) and especially to identify negative or potential risks related to its implementation while proposing mitigation measures (ESMF V.0). In September and October 2012, new consultations were held in six REDD+ pilot provinces to gather opinions and remarks from indigenous and local communities on the potential risks identified and the proposed mitigation measures. Members of the civil society, who are part of the Monitoring Committee on the Social and Environmental Risks and Co-benefits of REDD+, participated in consultations.

These consultations allowed consultants (from consortium AGRECO-Land Resources) to develop intermediate SESA deliverables that were shared with different involved stakeholders in their improvement process.

With the goal of discussing and adjusting SESA documents, a consultation workshop of the second "enlarged" level of stakeholders was held in Kinshasa June 24–28, 2013. In the case of the indigenous peoples, NC-REDD supplied funds for the REPALEF [Network of Indigenous and Local Populations for the Sustainable Management of Forest Ecosystems in the Democratic Republic of the Congo], the main platform of the indigenous peoples of the DRC to hold a workshop on June 2–3, 2013, where they could study and prepare recommendations for the SESA, the ESMF, the IPPF, and to better prepare for the second "enlarged" level consultation workshop.

The results of these different consultations allowed not only the SESA to be enriched with specific frameworks, but also to re-frame the National REDD+ Strategy vision with certain key implementation instruments for the decree approval procedure of REDD+

projects. For the latter, the guidelines/recommendations made through organized consultations related to the SESA, aided the revision work of the decree by integrating specific elements, notably on the definition criteria of REDD+ projects and initiatives and incorporating the communities as potential initiators to REDD+ projects. The specific results of these consultations are in the annex.

The subsequent steps that lead to the adoption of a finalized National Framework Strategy are illustrated in Table 12 below.

**Table 12. Preparation Process for the National REDD+ Strategy**

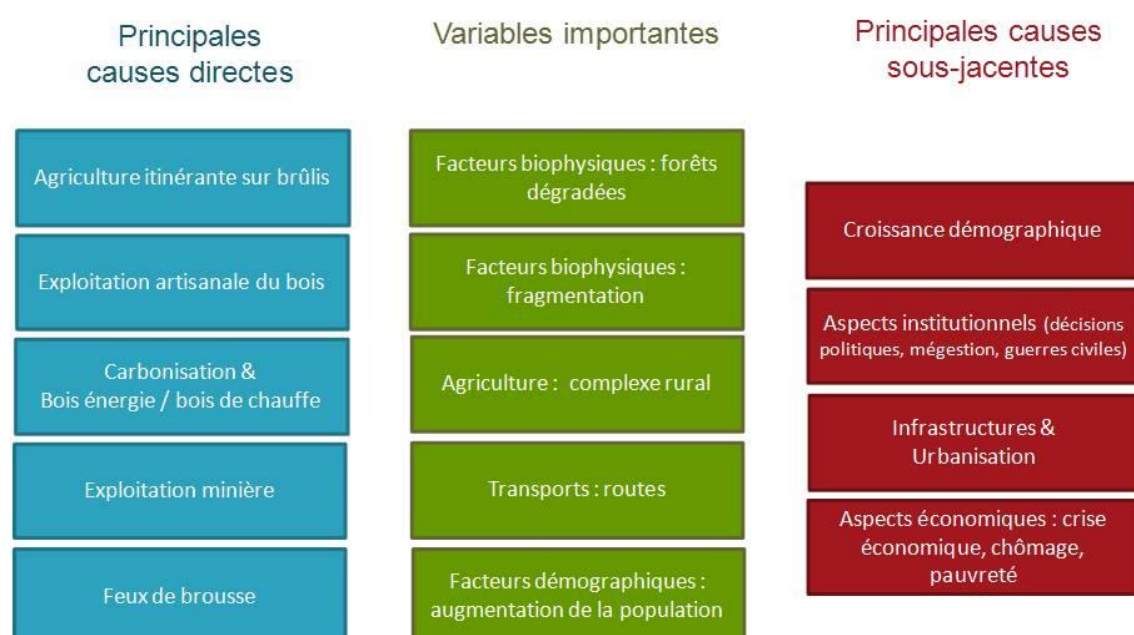
Steps	Activities	2012 Calendar	
<b>Development and Consultations</b>	1	Development of a program corpus of the strategy in the framework of the REDD Strategic Environmental and Social Study (SESA). This corpus summarized the analyses conducted by the REDD Thematic Committees of the civil society, including organizations representing indigenous peoples.	April–May
	2	Development by NC-REDD of a more elaborate version of the program corpus called Version 1.0 (V.1). This version includes the seven pillars of future REDD activities.	August–September
	3	Examination of version V.1 by the Thematic Coordination and development of the version V.1.1 from their comments	September–October
	4	<b>Consultations on the program corpus in two provinces.</b>	<b>End of October</b>
	5	Consultation of the Monitoring Committee on the Social and Environmental Risks and Co-benefits of REDD+ in the DRC	Beginning of November
	6	Consultations of Cabinet Ministers and Prime Minister on the strategic pillars, as well as the guidelines of the strategy framework, their coherence with sectoral policies, in view of the more in depth, high-level consultations taking place in 2013.	Beginning of November
	7	Development of other chapters of the Framework Strategy by NC-REDD	End of October
	8	Consultation of the Thematic coordination on other chapters of the Framework Strategy and the last version of the program corpus.	Mid-November
	9	(a) Consultations with Members of the REDD National Committee and the Inter-ministerial Committee, (b) civil society, (c) International consultations.	October–November
	10	Provisional development of the Framework Strategy forms the entirety of consultations by NC-REDD.	Beginning of November
<b>Final validation</b>	1	National workshop	Mid-November
	2	National REDD+ Committee	Mid-November
	3	Meetings with Ministers and the Prime Minister	Beginning of November

## 10.2. REDD+ NATIONAL FRAMEWORK STRATEGY OF THE DRC

The structure of the REDD+ National Framework Strategy is as follows:

This Framework Strategy allows the DRC to combat, in an integrated and transversal way, the key causes of deforestation and forest degradation in the DRC, presented below (

Table 13):

**Table 13. Main Direct and Underlying Causes**

Main direct and underlying causes and important variables of Deforestation and Forest Degradation in the Democratic Republic of the Congo

This section corresponds to the section regarding proposed activities for the Framework Strategy, described in 7 sectoral and enabling pillars (Table 14). The National Strategy document that served as the basis for the environmental and social analysis is in the annex.

**Table 14: Sectoral and Enabling Pillars of the REDD+ Program Corpus in the DRC**

Section		Piliers
<b>Chapitre 3 : Corpus programmatique</b>	<i>Piliers sectoriels</i>	Introduction
		Agriculture
		Energie
		Forêt
	<i>Piliers habilitants</i>	Gouvernance
		Aménagement du territoire
		Foncier
		Démographie

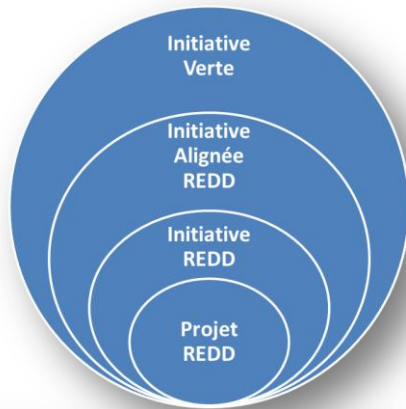
### 10.3. TYPOLOGY OF ACTIVITIES

The typology of activities describes the interventions that will be used to implement the strategy. In other words, while the National Strategy defines the WHAT and the typology defines the HOW.

The interventions envisioned by the REDD+ program have been classified by national authorities in a system of typologies, which is shown below. It should be noted that in the preceding section (6.2), the text that follows is an exact copy of NC-REDD documents.

The financing and the actions that support the REDD+ strategy in the DRC may be separated into four major typologies. (Figure 17)





Correspondance logique entre les quatre typologies de financement et d'action encouragées et suivies dans le cadre de la stratégie nationale REDD+ en RDC

**Figure 19. Four Major Typologies of REDD+ Financing**

In essence, for REDD+ to succeed in the DRC, the National Strategy must mobilize these four types of financing as they are developed below. All financing and actions related to these four typologies must be recorded in the national REDD registry. The registry allows the procedures and models associated with approval, and the validation and the implementation of all the actions to be visualized. The global architecture and a first methodological ensemble are being prepared and will be available upon launching of the investment phase, so they can accompany the main action categories to be launched. It will then be progressively completed.

### 10.3.1. REDD+ PROJECTS

**Definition:** The entirety of the activities seeking to change the dynamics of deforestation and/or forest degradation and/or to increase forest carbon stocks, in the interior of a delimited geographic area, in order to reduce emissions and/or increase absorption of greenhouse gas related to these dynamics, with the goal of valuating these emission reductions/absorptions within a compensation mechanism based on the result (carbon market or fund).

**Philosophy:** Corresponds to the financing and actions that mark their contribution to REDD+ objectives and directly address them to the carbon markets. They are subject to the entirety of the international demands of REDD+ mechanisms; they are financed based on carbon results and allow REDD+ carbon credits to be issued. Emission reductions are measured by comparing them to a reference levels established according to carbon and socio-environmental standards coming from the UNFCCC and/or from other known national and international regimes. REDD+ projects are part of a contract. They are clearly geographically delimited and mutually exclusive in the space.

**Financing:** The financing of REDD+ projects carry the label "REDD+". They may be enabling or sectoral.

### 10.3.2. REDD+ INITIATIVES

**Definition:** The REDD+ initiatives relate to REDD+ projects, programs or business policies aiming to obtain measurable REDD+ results; subject to the entirety of national adaptation requirements of the REDD+ international mechanism coming from the UNFCCC or other compliance regimes, including those that are sectoral, financed by carbon results or on a proxy basis, and that do not allow REDD+ carbon credits to be issued.

**Philosophy:** Corresponds to the financing and actions that mark their contribution to REDD+ objectives without directly addressing them to the carbon markets.

**Financing:** The financing of REDD+ initiatives carry the label "REDD+". They may be enabling or sectoral.

### 10.3.3. REDD+ ALIGNED INITIATIVES

**Definition:** The REDD+ aligned initiatives relate to REDD+ projects, programs or business policies aiming to contribute measurable REDD+ results; subject to the entirety of national requirements of the REDD+ international mechanism coming from the UNFCCC or other compliance regimes, including those that are sectoral, financed by carbon results or on a proxy basis, and that do not allow REDD+ carbon credits to be issued.

**Philosophy:** Corresponds to financing and actions that may justify their contribution to REDD+ objectives without being subject to the same level of constraints.

**Financing:** The financing of REDD+ aligned initiatives carry the label "REDD+ aligned initiatives". They may be enabling or sectoral. National REDD+ strategies will determine under what conditions (and specifically, the threshold) of REDD+ financing that may co-finance aligned actions.

#### 10.3.4. GREEN INITIATIVES

**Definition:** The green initiatives relate to projects, programs or business policies aiming to contribute to green development in the DRC, and contribute to measurable REDD+ results; not subject to the requirements of the REDD+ international mechanism coming from the UNFCCC; financed by carbon results or not, and that do not allow REDD+ carbon credits to be issued.

**Philosophy:** Corresponds to financing and actions that can reasonably justify their contribution to the objectives of green development in the DRC.

**Financing:** The financing of REDD+ green initiatives carry the "green" label.

### 10.4. DETAILED SYSTEMATIC REVIEW OF REDD+ FINANCING AND ACTIONS

Each of the four REDD+ financing typologies and actions may cover distinct types of actions and financing. The matrix below was designed to remove any ambiguity for categorizing REDD+ financing and actions, and to clarify to REDD+ authorities, funders and developers of the different implementation modalities.

There are five entry categories: REDD+ sectoral and enabling financing, REDD+ aligned sectoral and enabling financing, and green financing.

- A sectoral activity acts upon the causes of deforestation and forest degradation with direct and tangible impacts on reducing emissions. For example: improving agricultural practices, producing improved stoves, creating hydroelectric dams, agroforestry, diminishing mining impacts, reinforcing protected areas, developing community forestry, etc.
- An enabling activity acts upon the indirect causes of deforestation and forest degradation and on the conditions to implement sectoral responses, with indirect impacts on reducing emissions. For example: reforming agricultural or energy policy, making land planning policies, leading a program for land harmonization and securement, reinforcing the administration's capacities, reinforce the capacity to apply the law against infractions against laws and regulations of the REDD strategy, etc.

The matrix is composed of two parts: the determinants (in orange), and the starting and implementation conditions (in blue). Each of these columns is defined below:

**Action:** determines the type of action financed. "prog/proj" indicates a program or project. It may also have to do with a policy.

Note: a policy is always considered an enabling action, even if it is applied to a sector. Also, REDD financing of an energy or agricultural policy is considered an enabling financing.

**Generator:** determines the public or private nature of the generator of the action. "p&p" indicates indifferently public or private. A public action is generated by a legal public person. However, a private action can be generated by a private legal person, for example, a business, or a civil society organization, a national or international NGO, a development partner, a research institution, etc.

**Threshold:** allows to distinguish small scale actions, the budget of which is less than \$50,000 per year, which are subject to more relaxed start-up and implementation modalities.

**Disbursement:** determines if this financing is "ex ante," when an action is launched, or "ex post," once an action is finished, generally in the form of payment for results.

Naturally, all actions require financing a priori, but some programs or projects may have distinct financing steps, with both ex ante and ex post financing. In this case, the program or project will be categorized in the form corresponding to the most demanding financing.

- For illustration: a private company invests \$200,000 to lead actions within the framework of a REDD+ project seeking to produce carbon credits with a value of \$300,000. This \$200,000 constitutes an "ex ante" REDD+ financing of an "investment/isp" nature. The \$300,000 represents an "ex post" REDD+ financing of a "carbon credit" nature. Since "ex post/carbon credit" financing modalities are more demanding than "ex ante/isp" financing modalities, the whole project will be subject to start-up and implementation modalities associated with projects financed under the form "ex post/carbon credit."

**Modalities:** determines the way that financing is **collected** and **dispensed** by the developer of a policy, program or project. These modalities may be distinct, for example, an NGO may solicit a donation to implement a program that will pay the local communities engaged in the production or protection of environmental services in the form of a payment for results.

Here, we can consider four main financing modalities that have been set up in regard to their potential distinct impacts on implementation conditions. The term "ispi" corresponds to investments, grants or donations, loans or indirect financing, such as bank guarantees or other mechanisms for covering risks. Beyond these traditional forms of financing, there is also financing through the issuance of carbon credits, "C Credits," or mechanisms for Payments for Environmental Services, "PES." The distinction between "asset building" PESs and "conservation" PESs is not made in the matrix because it does not change the general implementation conditions identified here.

As with the notion of timing, in cases of conflict between several collection and dispensing modalities within the same project or program, this is categorized by the form corresponding to the most demanding financing unless the prongs are separable. For example, if an NGO receives a donation to launch a project that includes both a support prong for the communities by issuing grants and a payment prong from private beneficiaries for the results in the form of PES, it can verify its carbon results either in a certified manner for the entirety of the project, or dissociate between the "grant," where the carbon results will be verified in an adjusted manner, and the "PES," where its carbon results will be verified in a certified manner.

**Typology:** corresponds to the classification of the action: "PR" for Project REDD; "IR" for REDD Initiative; "IAR" for REDD-aligned initiative; "GI" for green initiative.

**Registration:** corresponds to the necessity for financing to be recorded in the National REDD Registry. In fact, all actions mentioned here are subject to this basic demand, as it allows for progressive tracing of all financing in the Democratic Republic of the Congo that contributes to the country's transformation toward green development. Naturally, the registration modalities are more or less binding, going from a REDD project toward a green initiative.

**Reputation:** determines if the generator of a project or program, as well as its partners, have undergone a reputation check, which would especially prevent the risk of money laundering.

**Demonstration:** determines if the generator of a project, program or policy can demonstrate some aspect or another from the beginning. Here, it is not necessary to demand a quantification, but at least a reasoned justification. The demonstration must be included in the project documentation and should ensure that the action will guarantee a positive carbon impact, economic viability, technical viability and/or a positive impact and prevention of social and environmental risks.

**M&E System** corresponds to the necessity that the action being financed is subject to a standardized, basic and acceptable monitoring and evaluation system. Just as with registration, it is a prerequisite for all REDD, REDD-aligned or green financing, but it could materialize in a different manner depending on the scope and the nature of the action. Generally, the basic requirements of the financing partners must be validated in the context indicated, or an acceptable equivalent system when related to private investments.

**Carbon Measuring and Reporting:** determines whether or not a measuring and reporting system regarding the carbon impacts of the action is required. Here, we distinguish between a **standard** system and a system based on **proxy**. In a standard system, it refers to the normalized constraints on an international level, including on a sectoral level, which essentially applies to projects and programs that lead to the issuance of carbon credits. In a proxy system, the carbon measuring and reporting may be done directly through the carbon data but also on the basis of other indicators, for example an area that has been reforested, a number of households with improved stoves, etc. In any case, a prior justification must be done between what the proxy intends and its carbon impact (see Demonstration). Guidelines and modes will be progressively produced by REDD+ authorities in the Democratic Republic of the Congo, to help assure for the project, program or policy generators a certain level of uniformity and acceptability, to save time and reduce costs.

**Carbon Verification:** determines whether or not a verification system for the carbon results or proxy of an action is required. Whether the carbon verification is "**certified**" or "**adjusted**," in either case, it must be systematic. Certified verification responds to international standards, including a verification requirement by the entities that are duly certified to do so. Adjusted verification respects a process adapted for the national level and the circumstances of the activity (the scope, sectors, risks, etc.). Guidelines and modes for verification are progressively produced by REDD+ authorities in the Democratic Republic of the Congo, in order to be adjusted in terms of the REDD+ requirements and to the realities of the actions undertaken (independent auditor, internal control, mandated National Entity or pool of verification experts, internationally or nationally certified, the role of Civil Society, long-distance or on the ground monitoring, etc.).

Naturally, the Democratic Republic of the Congo's REDD+ authorities may undertake or mandate occasional monitoring of actions that are not subject to these certified or adjusted verifications, for the goal of analyzing, evaluating and improving them (but not in a corrective or punitive sense).

**Socio-environmental Measuring and Reporting:** determines whether or not a measuring and reporting system of socio-environmental benefits of the action is required. Here, we distinguish the requirements with respect to **REDD-labelled** or **classic** standards. In the case of a REDD label, the guidelines and models developed within REDD must be respected, either available and recognized on an international level (CCBA), or produced on a national level by REDD+ authorities. This system of procedures and models is in the process of being developed and will be progressively completed to go along with the proper implementation of REDD financing. The level of requirements may be different in regard to the actions undertaken, for example based on their scope or their activity domains. Regarding classic standards, the generator of the action, for example, must respect the classic standards or safeguards of its financial partner, without necessarily considering the particular requirements adapted to the REDD objectives.

**Socio-environmental Verification:** determines whether or not verifying the socio-environmental results of an action is systematically required. It is important to separate, on one hand, a part of the requirement levels and the complexity of applicable standards, and on the other hand, the potential conditions for verifying the results. The Democratic Republic of the Congo's REDD+ authorities develop an ensemble of procedures and models laying out the verification modalities (see Carbon Verification) that may still be different in regard to projects, programs or policies related to REDD strategy. As with the question of carbon, occasional monitoring may be undertaken on actions that are not subject to verifying socio-environmental results, with the goal of analyzing, evaluating and improving them (but not in a corrective or punitive way).

Table15. Types of REDD Projects and Implementation Conditions

Catégorie d'entrée	Action	Porteur	Seuil	Débursement	Modalité		Typologie	Conditions de démarrage						Système S&E standard	Conditions de mise en œuvre								
					Collecte	Dépense		Enregistrement	Contrôle d'honorabilité	Démonstration					MR carbone		V carbone		MR socioenv		V socioenv		
										Impact carbone	Viabilité économique	Viabilité technique	Impact +/- socio-envir .		standards	proxy	accréditée	adaptée	label REDD	classique			
Financement sectoriel REDD	Prog/Proj	public	Non	Ex ante	ispi	ispi	IR	O	N	O	N	O	O	O	N	O	N	O	O	N	O		
				ispi	PSE	IR	O	N	O	N	O	O	O	N	O	O	N	O	N	O	N	O	
				Ex ante/post	PSE	ispi/PSE	IR	O	N	O	N	O	O	N	O	O	N	O	N	O	N	O	N
				Ex post	crédit C	ispi/PSE	PR	O	N	O	O	O	O	O	N	O	N	O	N	O	N	O	N
		privé	Non	Ex ante	ispi	ispi	IR	O	O	O	O	O	O	O	N	O	N	O	O	O	N	O	O
				ispi	PSE	IR	O	O	O	O	O	O	O	N	O	O	N	O	N	O	N	O	O
				Ex ante/post	PSE	ispi/PSE	IR	O	O	O	O	O	O	N	O	O	N	O	N	O	N	O	O
				Ex post	crédit C	ispi/PSE	PR	O	O	O	O	O	O	O	N	O	N	O	N	O	N	O	N
		p&p	<50K\$	Ex ante/post	ispi/PSE	ispi/PSE	IR	O	N	O	N	O	O	O	N	O	N	N	N	O	N	N	N
				Ex post	crédit C	ispi/PSE	PR	O	O	O	O	O	O	O	N	O	N	N	N	O	N	N	O
				Ex ante	ispi	ispi	IR	O	N	O	N	O	O	O	N	O	N	O	O	O	N	O	O
				ispi	PSE	IR	O	O	O	N	O	O	O	N	O	O	N	O	N	O	N	O	O
Financement habitant REDD	Prog/Proj	public	Non	Ex ante	ispi	ispi	IR	O	N	O	N	O	O	O	N	O	N	O	O	N	O		
				ispi	ispi	IR	O	N	O	N	O	O	O	N	O	N	O	O	N	O	N	O	
				Ex ante/post	PSE	ispi/PSE	IR	O	N	O	N	O	O	O	N	O	O	N	O	N	O	N	O
				ispi	PSE	IR	O	N	O	N	O	O	O	N	O	O	N	O	N	O	N	O	O
		privé	Non	Ex ante	ispi	ispi	IR	O	O	O	N	O	O	O	N	O	N	O	N	O	O	N	O
				ispi	PSE	IR	O	O	O	N	O	O	O	N	O	O	N	O	N	O	N	O	O
				Ex ante/post	PSE	ispi/PSE	IR	O	O	O	N	O	O	O	N	O	O	N	O	N	O	N	O
				Ex ante/post	ispi/PSE	ispi/PSE	IR	O	N	O	N	O	O	O	N	O	N	N	N	O	N	N	N
		p&p	<50K\$	Ex ante	ispi	ispi	IAR	O	N	O	N	O	O	O	N	O	N	N	O	O	N	N	N
				ispi	PSE	IAR	O	N	O	N	O	O	O	N	O	N	O	N	O	O	N	N	N
				Ex ante/post	PSE	ispi/PSE	IAR	O	N	O	N	O	O	O	N	O	N	O	N	O	O	N	N
				Ex ante/post	ispi/PSE	ispi/PSE	IAR	O	N	O	N	O	O	O	N	O	N	N	N	O	N	N	N
Financement aligné sectoriel REDD	Prog/Proj	public	Non	Ex ante	ispi	ispi	IAR	O	N	O	N	O	O	O	N	O	N	N	O	O	N		
				ispi	PSE	IAR	O	N	O	N	O	O	O	N	O	N	O	N	O	O	N	N	
				Ex ante/post	PSE	ispi/PSE	IAR	O	N	O	N	O	O	O	N	O	N	O	N	O	O	N	N
				ispi	PSE	IAR	O	O	O	N	O	O	O	N	O	N	O	N	O	O	N	N	
		privé	Non	Ex ante	ispi	ispi	IAR	O	O	O	N	O	O	O	N	O	N	N	O	O	N	N	
				ispi	PSE	IAR	O	O	O	N	O	O	O	N	O	N	O	N	O	O	N	N	
				Ex ante/post	PSE	ispi/PSE	IAR	O	O	O	N	O	O	O	N	O	N	O	N	O	O	N	N
				Ex ante/post	ispi/PSE	ispi/PSE	IAR	O	N	O	N	O	O	O	N	O	N	N	N	O	N	N	
		p&p	<50K\$	Ex ante	ispi	ispi	IAR	O	N	O	N	O	O	O	N	N	N	N	N	N	O	N	
				ispi	PSE	IAR	O	N	O	N	O	O	O	N	N	N	N	N	N	N	O	N	
				Ex ante/post	PSE	ispi/PSE	IAR	O	O	O	N	O	O	O	N	O	N	O	N	O	O	N	N
				Ex ante/post	ispi/PSE	ispi/PSE	IAR	O	N	O	N	O	O	O	N	O	N	N	N	O	N	N	
Financement aligné habitant REDD	Prog/Proj	public	Non	Ex ante	ispi	ispi	IAR	O	N	O	N	O	O	O	N	O	N	N	O	N	N		
				ispi	PSE	IAR	O	N	O	N	O	O	O	N	O	N	O	O	N	N	N		
		privé	Non	Ex ante	ispi	ispi	IAR	O	O	O	N	O	O	O	N	O	N	N	O	O	N	N	
				ispi	PSE	IAR	O	O	O	N	O	O	O	N	O	N	O	O	N	O	N	N	
		p&p	<50K\$	Ex ante/post	PSE	ispi/PSE	IAR	O	O	O	N	O	O	O	N	O	N	O	N	O	O	N	N
				Ex ante/post	ispi/PSE	ispi/PSE	IAR	O	N	O	N	O	O	O	N	O	N	N	N	O	N	N	
Financement vert	Prog/Proj	public	Non	Ex ante	ispi	ispi	IV	O	N	N	N	O	O	O	N	N	N	N	N	O	N		
				ispi/PSE	ispi/PSE	IV	O	N	N	N	O	O	O	N	N	N	N	N	N	O	N		
		privé	Non	Ex ante/post	ispi/PSE	ispi/PSE	IV	O	O	N	N	O	O	O	N	N	N	N	N	N	O	N	
				ispi/PSE	ispi/PSE	IV	O	O	N	N	O	O	O	N	N	N	N	N	N	N	O	N	
		p&p	<50K\$	Ex ante/post	ispi/PSE	ispi/PSE	IV	O	N	N	N	O	O	O	N	N	N	N	N	N	O	N	
				ispi/PSE	ispi/PSE	IV	O	N	N	N	O	O	O	N	N	N	N	N	N	N	O	N	

## 10.5. COMMENTS ON THE TYPOLOGY OF REDD+ ACTIVITIES

In order to attempt to clarify the notions in section 10.3, the authors of this study believe it is necessary to illustrate several examples of the types of interventions that may take place under the Democratic Republic of the Congo's REDD regime.

### 10.5.1. PREPONDERANCE OF THE NATIONAL REDD STRATEGY

First, it should be recalled that the National REDD Strategy is the document that frames REDD activities throughout the Democratic Republic of the Congo's territory and for its entire period of engagement in this international process. In addition, the projects, investments, initiatives and other types of intervention seeking a REDD label should demonstrate that the activities undertaken should reasonably fall within the National Strategy. Conversely, a project, investment, initiative or another type of intervention that cannot demonstrate that it is undertaking activities set out by the National Strategy may not have a REDD label.

### 10.5.2. REDD PROJECTS

Our understating of a REDD project is one that is generally accepted by the "REDD community." A REDD project has the following characteristics:

- The project's objective is to gain revenue from the sale of REDD carbon credits drawn from the reduction of deforestation on a given territory;
- The promoter is often a private legal person (business, NGO, etc.);
- The project intervenes on a territory that is generally quite large (299,640 ha in the case of the ERA company's concession in the district of Mai Ndombe);
- The financing and the payout of the project depends on its capacity to show a reduction of deforestation in the intervention territory and to sell on the carbon market "REDD credits" that correspond to reduced greenhouse gas emissions gained by the project;
- The project is entirely financed with private capital. Startup capital is gathered by the promoter, which serves to lead operations until REDD credits are sold;
- For a project to achieve its profitability objective, it may employ any method allowed by the National REDD Strategy. For example, programs that cover areas such as agricultural development, reforestation, conservation, land tenure security, etc.;
- Inhabitants of the project area benefit from the gains from the arrangements decided by the promoter. The promoter may use a vast array of means to incite forest conservation or discourage deforestation;
- The government plays a somewhat low-profile role in the entire process: its only contribution consists of supervising the certification of the project and the minimum administrative, environmental and social safeguards to which the project is subject.

### 10.5.3. PES PROJECTS

From our understanding, a payment for environmental services (PES) project is very similar to a REDD project, except when it comes to financing. A PES project is financed by public funds through the purchase of "environmental services". The objective of these services is to reduce deforestation and forest carbon emissions, but the "service" bought by the government is not a reduction of greenhouse gas emissions. To illustrate these differences, here are the characteristics of a PES project as understood by the authors of this study:

- The project's objective is to gain revenue from the sale of services that combat deforestation and forest degradation;
- The promoter is often a private legal person (business, NGO, etc.). This promoter accomplishes the "service" by involving the local communities;
- The buyer of these environmental services is the government. It may proceed by a bidding process to select suppliers for a given territory. For example:



- The Democratic Republic of the Congo's national authorities launch a bidding process to reduce deforestation on a territory covering about 200,000 ha in the province of Équateur. This territory is free of any ownership rights and is thus at the disposition of the winning bidder to manage it with the objective of reducing deforestation. The bidders must demonstrate their capacity to supply these services for 25 years while respecting the predetermined social and environmental safeguards.
- The bidders must supply an intervention plan that details the activities it intends to lead and a calendar of their interventions.
- A unit price is proposed for each type of intervention. For example:
  - Installing a fire barrier: \$300/linear km;
  - Protecting the savannas from fire: \$100/ha per year for areas that have not had a fire for at least three consecutive years;
  - Protecting the natural forests: \$50/ha per year of areas that have not had a cut since at least 15 years in the areas adjacent to the communities;
  - Reforestation for the production of fuelwood: \$500/ha in operation;
  - etc.;
- The lowest compliant bidder wins the bidding process. A PES contract is signed between it and the government to supply services described in its offer on the territory proposed by the government, according to the calendar described in the offer.
- The government will pay in advance, even before operations start, for the environmental services that will be provided (for example) in the first two years. The promoter uses this money to implement its programs on the territory. Its profit is the difference between the real cost of attaining its objectives and the price paid by the government.
- The members of the local community usually benefit directly from a project, as the promoter completes the project by "subcontracting" the simple environmental services out to the communities or directly to the local inhabitants. For example:
  - maintaining a fire barrier against cuts: \$20/km per year for each household having a fire barrier on its land;
  - Protecting the collective savannas from fire: \$15/ha per year for areas that have not had a fire for at least three consecutive years, payable to community authorities for the construction of a healthcare center;
  - etc. ;
- (These scenarios and the value of these services are fictitious examples);
- The projects undertaken should be on an area of territory equivalent to those of REDD projects;
- Financing and payout of a project depend on its capacity to supply the agreed upon environmental services for a sufficiently low price to make a profit;
- The project is financed with public capital. Private startup capital is gathered by the promoter, which will help in leading operations until to the purchase of the agreed upon environmental services by the government;
- These services will be billed according to predetermined unit prices;
- The government plays a rather active role in this process: it determines the environmental services that it wishes to acquire and the applicable criteria, and oversees their proper execution before paying the promoter. It also oversees the application of the minimum administrative, environmental and social safeguards to which the promoter is subject.

### 10.5.4. COMPARING REDD AND PES PROJECTS

From the local communities' point of view, the difference between a REDD project and a PES project will be minimum: the two types of project will carry out the same types of activity in the areas, include the same types of intervention and use the same instruments to achieve their aims. A REDD project may even use simple PES mechanisms to benefit local communities to incite conservation on their land.

From the promoters' point of view, the PES project has the advantage of prior payment, which greatly diminishes the need for external financing. Conversely, a REDD project must be entirely financed itself and reimburse its loan costs by profits from the sale of REDD carbon credits. The risk level of the promoter (and its investors) is thus higher for a REDD project. However, the potential profits from a REDD project are larger than from PES projects since the latter's payments are predetermined by contract.

The following Figure 20 is a simplified schematic to compare the roles of the different participants in the cycle of a REDD project and a PES project.

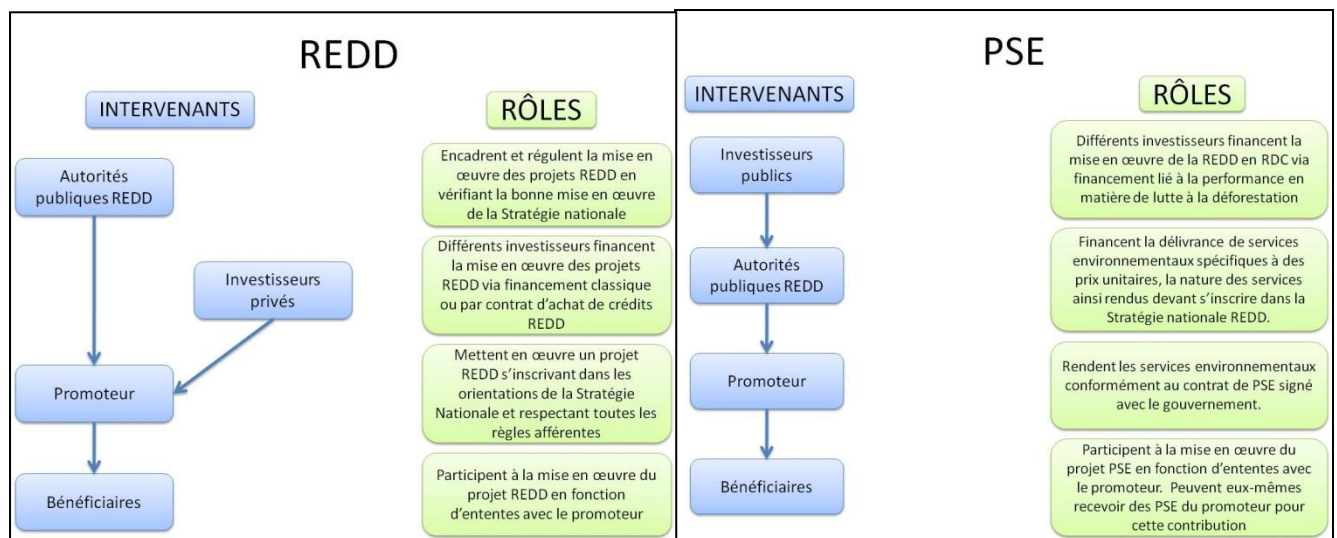


Figure 20. REDD Project vs. PES Project

### 10.5.5. REDD INITIATIVES

Our understanding of a REDD initiative is as follows:

- REDD initiatives are public initiatives. The promoter is the government of the Democratic Republic of the Congo;
- The objective of the REDD initiative is to bring large-scale changes to the country, which contribute in a significant way to reducing the level of deforestation;
- Two categories of REDD initiatives are laid out: enabling initiatives and sectoral initiatives.
  - An enabling initiative is a national program that puts in place crucial underlying conditions to reduce deforestation. Also, even though it may not be possible to establish a direct link between an enabling initiative and the reduction of deforestation in a given area, implementing an enabling initiative is essential for perpetuating the results of any subsequent effort to reduce deforestation;
  - A sectoral initiative is a large-scale program to directly reduce deforestation by combating the demand for forest products or increasing the offer of sustainable forest products;
- An excellent example from the portfolio of programs that qualify as REDD initiatives is the Forest Investment Program (FIP). It contains both enabling and sectoral initiatives that have been created to have a maximum and sustainable impact on the reduction of deforestation. It includes, for example:
  - Enabling initiatives:
    - Land tenure system reform: reforming the land tenure system to establish a system based on registration for individual and titled property rights, as well as giving permanent rights to occupied land to the entire population. The objective is to end the phenomenon of "tragedy of the

- commons" where land is not developed by the small farmers because it may be confiscated at any moment, which is followed by uncontrolled forest clearing of new land.
- Spatial planning: initiate a spatial planning step to slow uncontrolled development and encourage development in specific areas that already have no forests.
  - Sectoral initiatives:
    - An energetic reforestation program in the large cities' supply basins: cities are large consumers of non-sustainable forest products, so the program aims to create a sustainable charcoal industry in fast-growing tree plantations located in the degraded savanna areas. This "managed" charcoal production should take the place of charcoal produced in uncontrolled ways in the periphery of cities;
    - Program to distribute improved stoves: a sectoral program aimed at energetically efficient means to cook food, through distributing more efficient stoves to diminish the demand for forest products.
  - Most probably, the financing of the first REDD initiatives will come from public aid for classical development. It is possible that in the future, the central government will have sufficient means to finance REDD initiatives with its own funds;
  - REDD initiatives do not seek to obtain REDD carbon credits.

#### 10.5.6. REDD ALIGNED INITIATIVES

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To the knowledge of the authors of this study, aligned initiatives have the following nature and characteristics:

- An aligned initiative is a project or program, the main objective of which is not to reduce deforestation but rather modify its practices to limit or compensate for its impact on deforestation, or to eliminate a factor of deforestation;
- Promoter:
  - Private: a project from a private promoter; private financing;
  - Public: a governmental project or program that is not initiated by REDD authorities, the main objective of which is not to reduce deforestation but rather modify its practices to limit or compensate for its impact on deforestation, or to eliminate a factor of deforestation; Financed by developmental aid or its own funds;
- An example of private aligned initiative: a mining company that reforests to compensate for its greenhouse gas emissions or to compensate for the areas of deforestation for which it is responsible;
- An example of public aligned initiative: a national program for agricultural development that promotes agroforestry;
- The REDD aligned initiatives do not allow for obtaining carbon credits, but may allow a "REDD label" to be attached or a type of REDD seal of approval as a reward for the efforts put forth.

#### 10.5.7. GREEN INITIATIVES

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The authors of the current study have nothing to add on the subject of green initiatives.

## 10.6. INSTITUTIONAL ORGANIZATION

The available documents regarding organization of the investment and operations phases do not yet outline the architectural specifications of the REDD organizational framework.

The preconceived structure from R-PP is an architecture similar to the one used during the preparation phase, that nonetheless replaces the NC-REDD with the Sustainable Development Department (SDD) of the MECNT (the Ministry for the Environment, Nature, Conservation and Tourism). The Approval Decree goes in this direction, however, without defining the entirety of the management structure. A Terms of Reference Project for a National REDD Fund describes the functioning of this other body sought to manage the sums the country invested in REDD. It should be noted that at the time of writing this, the final version of these Terms of Reference is not available.

### 10.6.1. APPROVAL PROCEDURE AND THE NATIONAL REDD REGISTRY

According to the Approval Decree, the Ministry of the Environment (at the time of writing this, the Ministry for the Environment, Nature, Conservation and Tourism or MECNT) shall regulate the approval process. The Regulator will create a National REDD Registry (hereinafter called "the Registry") whose role is to oversee management.

The maintenance of the registry is entrusted to the Sustainable Development Department of MECNT, named the Registry Holder. The Registry Holder ensures the maintenance and updating of the Registry according to a registration procedure included in the Annex of the Decree.

The simplified flowchart of this management is illustrated in the Figure 21 below.

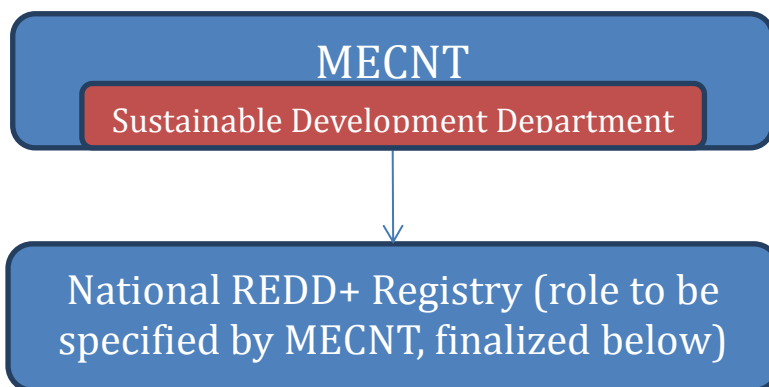


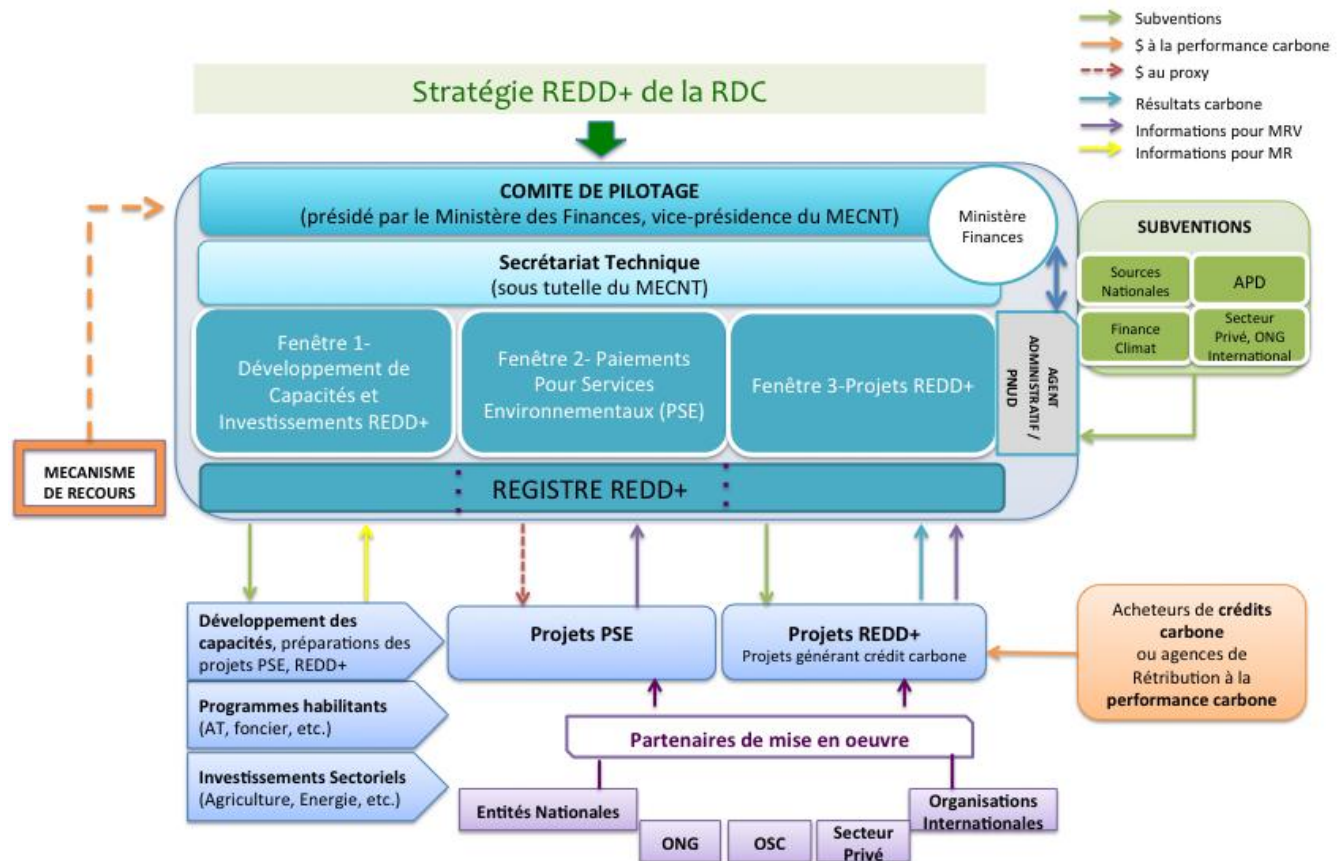
Figure 21. Management of REDD+ Projects Approval Process

### 10.6.2. NATIONAL REDD+ FUND

The national REDD fund serves as the financial arm of the National REDD+ Strategy in the Democratic Republic of the Congo and specifically, to its successive Investment Plans. The specific objectives of the Fund currently considered are as follows:

- a. To mobilize the financial sources necessary to attain national REDD+ objectives and to strengthen the Democratic Republic of the Congo's leadership in this domain;
- b. To combine public and private, multilateral and bilateral, financial sources, including innovative financing, to maximize the capacity of the country to advance its REDD+ national priorities;
- c. Boost the coordination capacities of the government for rapid, coherent and efficient implementation of activities identified as priorities by the REDD+ National Investment Plan;
- d. Support measuring, reporting and verification activities, in a continual and transparent manner, of the results of the activities financed by the Fund in accordance with UN-REDD standards, while encouraging management based on performance.

The flowchart for the management structure of Fund management currently considered is presented in Figure 22 below.



Source: Terms of Reference Project of the National REDD Fund  
**Figure 22. Management Flowchart for November 2012**

As illustrated above, the National REDD Fund must interact with the structures responsible for holding the National REDD Registry. The Terms of Reference Project of the National REDD Fund lists the responsibilities of the diverse structures that make it up.

The stated objectives of the institutional and financial arrangements of the Fund are to ensure that:

- Each project approved for financing is part of a priority program of the National REDD+ Strategy;
- The financed activities are put into effect by internationally known partners and, as much as possible, by national implementation partners, under the piloting and approval of the government to ensure sustainable reinforcement of local capacities;
- The financing and implementation of activities should be transparent to promote efficient execution and use of the Fund's resources, geared towards producing measurable results;
- Evaluation of the performance of the projects financed by the fund and their capacity to show results are ensured by putting in place a rigorous system of measuring, reporting and verification; this system itself will be subject to regular revision to ensure it remains pertinent;
- Complementary technical experts are mobilized, specifically through creating a pool of experts, encouraged at the request of the government and in view of supplying the technical support necessary to guarantee that international REDD+ standards are respected;
- The use of new innovative technology is encouraged to reinforce the MRV system and to ensure transparency in each of the notification steps, while reducing transaction costs.

These objectives note the great importance granted to the management structures of the Fund. It is probable that they will hold, in practice, upon REDD's implementation, the majority of the powers associated with coordinating REDD activities on the national territory.

### 10.6.2.1. Technical Secretariat

Specifically, the Technical Secretariat of the National Fund must have the following attributes:

- a. Conduct an assessment of the fiduciary management and implementation capacities of international participatory entities and organizations that submit project proposals;
- b. Conduct a systematic, rigorous, detailed and high-quality assessment of project proposals and provide a report with recommendations to the Steering Committee;
- c. Ensure respect and coherence of the activities financed by the Fund with the good practices promoted by UN-REDD, of the norms and regulations in force on the national level<sup>34</sup>, with the compliance standards of the UNFCCC and/or other regimes recognized by the Democratic Republic of the Congo<sup>35</sup>, and the good practices promoted by the national REDD+ process;
- d. Revise the reports and all of the documents required within the notification framework of projects submitted under the REDD+ Registry by National Entities and international participatory organizations;
- e. Ensure respect by the National Entities and participating international organizations of the specific verification requirements of different Fund windows;
- f. Encourage the use of innovative mechanisms and technologies, specifically in regard to measuring, notification and verification, in order to reduce transaction costs;
- g. Be in charge of daily management of the Fund's activities.
- h. Follow-up Steering Committee meetings to ensure good implementation of its decisions and report back to it if needed; and
- i. Ensure the liaison and coordination between the Steering Committee, the REDD+ Committees, the diverse Fund stakeholders and the administrative agents.

### 10.6.3. INTERIM MANAGEMENT BY THE UNDP

In order to reinforce national capacities while ensuring proper management of the sums generated by the Fund, its administration, in terms of administrative and fiduciary management, must be ensured on an interim basis by the United Nations Development Program (UNDP) through its Multi-Partner Trust Fund (MPTF) Office. The responsibilities that it assumes are described below.

The MPTF Office of the UNDP, will act as administrative agent for the Fund and will have the following tasks:

- a. Receiving the financial resources of contributors and depositing them in the Fund account;
- b. Managing the funds received, in conformity with the rules, procedures and policies of the UNDP, as well as to the provisions of the Terms of Reference, including the provisions related to liquidation of the Fund and related matters;
- c. Disburse the funds to each National Entity in conformity with the Steering Committee's decisions as communicated by the Ministry of Finance, subject to the availability of funds, and following the Ministry of Finance's instructions, and on the basis of the capacities of fiduciary management evaluated by the Technical Secretariat;
- d. Disburse the funds as approved by the steering committee to each international participatory organization, subject to the availability of funds and the existence of agreements signed by the Administrative Agent and the organizations in question, following the instructions of the Government coordination entity, on the basis of the budget set out in the approved program document;
- e. Consolidate, in close collaboration with the Technical Secretariat, the declarations and reports, based on the notifications presented to the Administrative Agent by the Ministry of Finance, and containing the reports of each National Entity and international participatory organization, and distribute them to the Steering Committee and the contributors;
- f. Supply a final report, including the notification that the Funds are operationally closed, in conformity with the Terms of Reference of the Fund;
- g. Disburse funds to the Ministry of Finance, to MECNT, to National Entities, or international participatory organizations to which the Steering Committee may decide to allocate them, to cover additional costs related to functioning activity of the Fund<sup>36</sup>, in conformity with the Terms of Reference of the Fund;

<sup>34</sup>Such as Decree number 004 /CAB/MIN/ECN-T/012 of February 15, 2012 regarding the approval of projects and the creation of a REDD+ National Registry

<sup>35</sup>Such as socio-environmental risk impact studies.

<sup>36</sup>Direct costs related to the Technical Secretariat's costs, evaluation activities, recruiting experts, etc.



At the same time, the MPTF will reinforce the capacities of a national ministry or a chosen entity and assume the administrative and management functions of the Fund later on. The Steering Committee will carry out a complete exam of the Fund's operations and an independent evaluation of the fiduciary management and program capacities of the chosen National Entity. Based on these recommendations, it will determine the potential feasibility of returning administrative functions of the Fund from UNDP to a national successor. The Fund Operations Manual will detail the procedure.

#### 10.6.4. OTHER BODIES PROVIDED FOR IN THE R-PP

The R-PP provides for implementing supplementary structures in the investment and operations phases of REDD, to fulfill certain essential functions. These functions are:

- A decision-making function, which belongs to the existing National REDD Committee as instituted for the country's preparation period by the Decree of 2009;
- A sector-planning and implementation-steering function per field, which belongs to the existing REDD Inter-ministerial Committee;
- A coordination function to ensure the handling of all of the implementation tasks and the secretariat-counsel of the decision-making body. The structure responsible for this will be part of the existing National REDD Coordination;
- A consultation function to handle all complaints associated with REDD implementation;
- A training, research and counsel function for climate change management, including its different components, which is part of REDD;
- A centralization and data management function to collect secondary data and manage a National Registry for REDD data in the Democratic Republic of the Congo.
- A national carbon initiatives management function, which is responsible for holding the national carbon registry and the international financial allocations to avoid any double counting, to ensure the promotion and international marketing of the Democratic Republic of the Congo's carbon and to bring the project generators forward to produce voluntary or certified credits.
- A centralization function for international funding, and redistribution to national stakeholders while following the transparent and audited rules.
- Local REDD coordination functions in charge of sub-national offshoot REDD programs, managing their implementation and their associated finances, IEC activities and consultation on a sub-national level, producing and consolidating sub-national data associated with governance, and sociocultural, environmental and economic impacts.
- Regional or international auditing functions, to exhaustively manage the implementation of the strategy; audits of programs, follow-up data, report management and audits of the financial flows.

#### 10.6.5. PRELIMINARY CONCLUSIONS OF THE OPERATIONAL FRAMEWORK OF THE INVESTMENT AND OPERATIONS PHASE

Given that the numerous elements of the operational framework described above are still in development and based on working documents, it is impossible to give a final portrait or definitive recommendations on integrating environmental management functions. However, a number of preliminary conclusions have been drawn:

- Upon reading the Terms of Reference of the National Fund, it seems that a large number, if not the majority, of the decision and coordination functions of REDD Activities in the Democratic Republic of the Congo are assimilated within the Fund;
- Given this apparent concentration of activities, it is possible that the approval activities of REDD project and upkeep of the REDD National Registry will be integrated in the management structure of the National Fund;
- The National Fund will thus indirectly control a large part of REDD activities undertaken in Democratic Republic of the Congo territory. It would be wise if the disbursement of sums dedicated to investments, REDD projects and PES project is subject to certain conditionalities, among which would be to include environmental and social management conditionalities.
- This capacity to impose certain environmental management obligations may allow the National Fund to include a financial intermediary from the State that can transfer the safeguard policies of a lender to a project promoter, within the framework

of a development project of FI category (World Bank 4.01 policy category for projects where fund management includes a financial intermediary).

## 11. ENVIRONMENTAL AND SOCIAL RISKS

The issues that follow have been identified following documentary analysis and various encounters with representatives from the State and the Civil Society. They are issues that relate to environmental analysis, and for which recommendations must be gathered.

Certain risks identified here may seem to come out of environmental and social preoccupations. However, one must keep in mind that one of the main objectives of an environmental and social assessment is to verify the pertinence of a project in relation to the needs. In addition, it must determine if the choices and alternatives are the most adapted and efficient, and determine those that best follow the principles of sustainable development, i.e., efficient economic development, social equity, and maintenance of the integrity of natural and human habitats.

To do this, the National REDD Strategy encourages long-term sustainable development, without which the Democratic Republic of the Congo's forest economy, food resources and revenues for the most poor will be sacrificed, as will the ancestral usage of a resource by a population that needs it for the good of the "planet community".

In regard to this, it is important that the strategy respond to at least three pillars that can be defined as follows:

- **Maintain the integrity of the environment** to ensure the health and safety of the human communities and preserve the ecosystems that sustain life;
- **Ensure social equity** to allow the full blossoming of all women and all men, of community growth, and of respect for diversity;
- **Aim for economic efficiency** to create an innovative and prosperous economy that is ecologically and socially responsible.

It is also known that there can be no sustainable development without good governance. It is our opinion that it is essential to apply the principle of precaution, specifically on the three following aspects of management:

- **Risks:** If the risk level is not managed or remains unknown, it is difficult to anticipate the possibilities of success and the results that come from the principles of sustainable development;
- **Management Costs:** When the cost of managing a process, no matter what it is, is not mastered a priori or it seems oversized compared to the economic and social benefits that it brings to the local or national level;
- **The Complexity of Management:** When the management processes are unknown, undetermined or outsized in relation to the expected benefits.

To summarize, we believe that REDD is an interesting process. However, we think it must be mastered to attain its objectives and to avoid being substituted for existing financial mechanisms that are less risky, that its benefits must be equitably shared, and that its risks must be evaluated and managed. Even though financing is available exclusively for REDD implementation, it must still be used efficiently and in compliance with the principles of sustainable development.

It is based on these aspects that, in the following sections, the National REDD Strategy is analyzed and positions have been taken.

### 11.1. RISKS RELATED TO INTERNATIONAL DECISIONS

A large part of REDD is based on the hypothesis that industrialized countries or private entities from these countries will be interested in financing the protection of Congolese forests through the purchase of REDD credits or payments for environmental services. Organizing this international system of trading related to GHG emissions and the funding associated with REDD is, itself,

largely dependent on international negotiations that are still in progress. In fact, at the time of writing, the international community has not yet come to an agreement on the rules and criteria that encompass the acceptability of REDD systems and projects on an international scale. However, as mentioned in section 3.2 of this study, few observers believe that a functional REDD project will be in place before 2020.

The risks associated with this uncertainty vary according to the expected outcome of international negotiations. The main risks that could materialize are classified by the possible scenarios in Table 16 below.

**Table 16. Risks Associated with the Outcome of International Negotiations Regarding REDD+**

Risk	Consequence	Timetable	Probability
<p>a) Failure of negotiations: REDD+ is not seen as an acceptable solution on a worldwide level to combat against climate change.</p>	<p>Financials: If REDD+ negotiations fail completely, the sums deposited to put it in place will be partially lost. Certain reforms could be pursued with the help of other financial sources despite the absence of REDD+ (e.g., REDD Initiatives such as modernization and security of land tenure, spatial planning, and biomass energy programs). The REDD projects would lose their profitability and be abandoned.</p> <p>Environmental: The environmental and social benefits of REDD+ may not be fully realized in the absence of financial incentives.</p> <p>Social: The expectations created within the population cause disappointment and there is the risk of an increase in deforestation/degradation following the abandonment of REDD+.</p>	<p>Unknown: Negotiations in Cancun and Durban did not have the desired success. The financial crisis in the majority of developed countries places the fight against climate change beneath other priorities.</p>	<p>Very high considering the financial crisis.</p>
<p>b) Partially successful negotiations: no global REDD+ system, but bilateral programs (e.g., Norway with Indonesia) are launched between the Democratic Republic of the Congo and investor countries.</p>	<p>If an agreement is reached, REDD+ may be followed without major problems, based on the rules and criteria drawn from the bilateral agreements.</p>	<p>Unknown</p>	<p>High</p>
<p>c) Negotiations are successful: the risk of the acceptability of REDD+ credits in the national systems remains</p>	<p>Even in the case of completely successful negotiations, the fungibility of REDD+ carbon credits from the Democratic Republic of the Congo may be lacking in several of the UNFCCC member countries. Their acceptability depends on the national legal frameworks of the credit-buying countries.</p>	<p>Unknown: in addition to the timeframe for international negotiations of the REDD+ system, the timeframe for modifying the national legal frameworks of the credit-buying countries must be included.</p>	<p>Probable (if we refer to the fungibility problems of CDM credits from the Kyoto protocol).</p>

## 11.2. RISKS RELATED TO THE PREPARATION PHASE

The REDD+ preparation phase were initially going to end in November 2012 to move to the investment phase. According to information gathered, it seems that certain activities not yet completed in this phase must be pursued in the investment phase.

### 11.2.1. ORGANIZING NATIONAL INSTITUTIONS

REDD+, by its nature, is complex and relatively unknown by vast sectors of society and governmental institutions, within the Democratic Republic of the Congo as well as elsewhere. This complexity and its innovative character present a risk of it not being adopted by the population and/or by the government bodies that must collaborate with it to achieve the success of the program. This risk is likely to persist not only during the readiness period of REDD, but also during the investment and operations phase.

The consultations show a low to medium knowledge of it in the provincial administrations (a knowledge that often goes no further than the terms behind the "REDD" acronym), but REDD remains completely unknown to local administrations and populations.

It is evident from consultant visits to NC-REDD offices that several essential REDD modules (described in section 5.1 of the current study) need to be further worked out and that they present great technical and/or administrative difficulties.

1. The **reference levels of deforestation and forest degradation** in the country must be established to determine the level of success of future deforestation reduction efforts and to calculate the financial incentive sums to which the country has the right. Beyond the purely methodological debates currently underway, it appears that the technical and logistic difficulty of evaluating the relatively precise carbon content of a roughly 1.5 million km<sup>2</sup> area of forest is very large. While satellite maps allow precise evaluation of the area of forest cover, the carbon market requires the quantification of the carbon content in the Congolese forest. Yet the density of carbon by forest surface unit depends on a multitude of natural and anthropic factors, and is difficult to evaluate other than by forest inventory campaigns involving visits to the area and compiling all of this data on a national scale.

The logistic difficulty and the cost of deploying forest inventory teams on the entirety of the Congolese forested area is evident when one considers that the area of the forest cover of the Congo is 2.2 times larger than that of France and 6.5 times larger than that of Great Britain. Moreover, very large areas of this territory are inaccessible because of the absence of lines of communication.

Furthermore, to this day it is still not possible to establish reference levels for deforestation/forest degradation in the Democratic Republic of the Congo. Efforts to do so continue, and it is not impossible that important technological breakthroughs may allow it to happen. However, difficulties related to establishing reference levels presents a risk of the complete success of the REDD+ program in the Democratic Republic of the Congo, as no payment based on carbon performance can be achieved without this baseline state being defined with sufficient precision.

2. The elaboration and operation of a **Monitoring, Reporting and Verification system (MRV)** is also essential in allowing the country to claim payments based on its performance of reducing carbon forest emissions. In fact, while reference levels allow existing forest carbon emissions levels to be established (*business as usual* baseline scenario), a national monitoring system must be established to constantly update the forest data to determine future levels of forest carbon emissions (*post-REDD* scenario). The performance of the country in relation to forest carbon emissions will be determined by the level of reduction in emissions between the baseline scenario and the *post-REDD* scenario for a given period, and it is on the basis of this improvement that the Democratic Republic of the Congo may claim financial incentive payments through REDD+.

Follow up should be continually done on the entire duration of the REDD program (minimum 25 years, ideally 100 years). In addition, the technical, logistic and budgetary difficulties of the MRV system appear similar to those for establishing reference levels, multiplied by the number of years during which the system will operate.

Again, it is possible that the efforts extended on the international and national level to identify the most efficient MRV methodologies, could deliver results allowing the implementation and operation of an efficient MRV system from a

technical and financial point of view. However, there are still risks that the difficulties associated with the MRV system may threaten the complete success of the REDD program.

It should also be noted that the level of specialization required to properly execute these MRV tasks nearly exudes the possibility that they will be performed by national specialists, at least in the first years of the system. Furthermore, the sums necessary to make the MRV system function on a national level may quickly rise and affect the efficacy of REDD as a development aid program.

### 11.2.2. PILOT PROJECTS

At the time of writing, very little information is available on pilot projects operating on Congolese territory that serve as experience sources for the complete deployment of the program (**the assessment regarding the financing agreement date for the majority is of December 2010**). It is thus not possible to precisely evaluate their adequacy in regard to the situations that will prevail when real projects are operational. This entails the risk that these pilot projects are not representative of the reality that the project promoters will face during the operational phase of REDD+.

Yet, if the pilot projects did not have a sufficiently elevated performance obligation, they will not adequately represent the payout requirements and the limits of the carbon market that the promoters will come up against in the implementation phase of REDD. For example, are the pilot programs subject to a sort of performance requirement in regard to the emissions avoided? In case the performance is less than expected, has the financial impact that this would have on the finances of a "real" project, which would be forced to reimburse in one way or another, the credits that did not materialize, been assessed?

Also, none of the pilot projects financed by the Congo Basin Forest Fund (CBFF) through the African Development Bank (AfDB) are subject to environmental and social assessment, the AfDB having classified them in environmental category 3 (project without negative environmental and social impact), and this within the framework of pilot projects is an aberration. The "pilot" character of the project, must allow for conclusions to be drawn on the problems of implementing this type of project. The environmental and social measures put in place within these pilot projects allow for a good number of elements to be validated, including:

- The capacity of the NGOs involved to implement an environmental and social protection program;
- The capacity of the State to control environmental and social conformity;
- The receptivity of partner populations to these types of measure;
- The pertinence of the defined measures;
- Training for the formalization process of environmental and social standards of a REDD project;
- etc.

In addition, REDD has missed an opportunity to apply environmental and social standards and to learn from them.

It should be noted that the preliminary analysis categorizing these pilot projects into category 3 was not made available to the consultant.

### 11.2.3. MAINTAINING TRANSACTION COSTS AT AN ACCEPTABLE LEVEL

The limited sums of money that will be loaned or donated to the Democratic Republic of the Congo within the REDD framework involve a moral obligation to use them in a way that will achieve the maximum results for each dollar spent, in terms of the level of reduced deforestation as much as in terms of the level of development assistance. Mechanisms must be implemented that seek to ensure equitable sharing of revenues and real improvement for the rural population.

The main activities for the preparation phase are laid out in the Table 17 below, along with the risks associated with them.



Table 17. Risks Associated with Readiness Activities of REDD+

Step/Component	Activity	Risk	Consequence	Timetable	Probability
Limits to access and use of resources <sup>37</sup>	REDD+ investment of project types Creation of national parks REDD+ regulations and policies seeking to limit access to and use of resources	<p>Compensation measures are not foreseen</p> <p>Compensation measures are not sufficient</p> <p>Capacity building aimed at improving participation from different stakeholders, specifically indigenous and rural right-holders, is not in place</p> <p>Lack of real involvement of the stakeholders and multi-level consultation during the readiness stages and implementation of the different measures</p> <p>Lack of transparency during the development of texts and procedures</p> <p>The provisions set out by the Constitution, environmental law and the forest code are not applied</p> <p>The Decree regarding community forest concessions (i) has not yet</p>	<p>The populations and the rural rights-holders, already vulnerable in the Congo, are negatively impacted in regard to their quality of life and the sustainability of their means of existence.</p> <p>The estimated cost of these (monetary) losses felt by the population for completion of the investment, as well as the approximate cost of mitigation measures, are not consensual and are detrimental to the rights-holders</p> <p>Lack of enforcement of free, prior informed consent (FPIC)</p> <p>Obligations are inflicted on the Congolese state and on its financial and international partners</p>	Readiness investment phase and	<p>High, given the low level of experience in the domain of participatory design of development plans and sharing benefits, as well as the increased need to reinforce the capacities of the stakeholders at a local and national level</p> <p>The FPIC Methodological Guide must still be validated and implemented.</p>

<sup>37</sup> Point 3.4 of the National Strategy entitled "Political Engagements" under point 3 sets out that the rehabilitation of protected areas covering about 11% of the national territory, extend to 17% and improve the environment and the efficacy of management.

Step/Component	Activity	Risk	Consequence	Timetable	Probability
		<p>been applied, (ii) it sets out measures that are insufficient to guarantee that formal and customary laws of local communities (especially indigenous peoples) are respected, or (iii) the institutional arrangements required to implement it are not place.</p>			
<p>Displacement of Communities/Involuntary Resettlement</p>	<p>Investments to support extending protected areas at a national level according to the objectives of the Aichi Objectives of the Convention on Biological Diversity.</p> <p>Investments to support reinforcement of forest carbon stocks through planting trees that may facilitate droughts or invasive species</p> <p>Accrued restrictions on access to land and/or resources</p>	<p>Absence of a prior evaluation that takes into account the real needs of the communities</p> <p>No efficient involvement of the concerned communities in identifying compensation measures nor, in general, in the resettlement process</p> <p>Compensation measures are not sufficient</p> <p>Compensation measures identified have not been realized or are not respected</p>	<p>Disproportionate compensations in regard to losses, damages or harm suffered the communities, involving their impoverishment Entitlements do not effectively profit the true beneficiaries (direct beneficiary), which violates their rights — specifically their rights to land and resources</p> <p>The precariousness of these displaced communities will increase, meaning they will neither grow nor be able to face the different problems related to displacement</p>	<p>Investment phase</p>	<p>High, due to deficits in the implementation of laws, specifically the law on on expropriation for public utility. In addition, the lack of application of follow-up provisions for safeguard measures at the national level, its framework being still under construction.</p> <p>The FPIC Methodological Guide must still be validated and implemented.</p>

Step/Component	Activity	Risk	Consequence	Timetable	Probability
1. Readiness for REDD implementation (R-PP) Component 1: Organization and consultation	a) Training, functioning and reinforcement of the capacities of national and provincial institutions	National management capacities may remain insufficient to ensure the proper management of all the REDD+ facets. Bringing in numerous foreign participants may be necessary to keep the program going (N.B. experience of the NC-REDD in progress shows the importance of this risk)	Lack of national ownership and failure of the program after foreign consultants leave	Risk may persist for the duration of the program	Very high
	b) Information, education, communication	Weak adoption by the ruling class and the populations involved	REDD is not recognized as a national program; the poor knowledge of its principles by the different administration levels limits its multi-sectoral integration	Risk may persist for the duration of the program.	High Given the absence of a convincing program in the IEC domain
2. R-PP Component 2: Readiness of the REDD+ Strategy	a) National studies and international benchmarks on the key analytical determinants of the REDD strategy	Negligible	Negligible	Readiness Phase	N/A

Step/Component	Activity	Risk	Consequence	Timetable	Probability
	b) Sectoral and geographically integrated pilot projects	<p>Pilot projects do not represent the reality that the project promoters would like to face.</p> <p>Pilot projects conclude at the end of financing</p> <p>Pilot projects do not submit reports complete enough for an evaluation of their performance and the problems encountered</p>	<p>If the pilot projects do not have a sufficiently elevated obligation to perform, they will not adequately represent the payout requirements that the promoters will come up against in phase 3 of REDD — specifically, performance requirement regarding the emissions avoided and reimbursement of credits in case of failure. If pilot projects do not represent real limits to the carbon market, they risk not being followed by any real project in the operations phase.</p> <p>The pilot projects do not provide a solution to the implementation problems of REDD in the Democratic Republic of the Congo</p>	Readiness and investment phases	High due to the management and implementation problems encountered at the present time
	c) Putting in place an institutional framework	i) Environmental and social risk: Negligible, apart from the risk of draining the competencies of other governmental structures	Impoverishing the capacities of other governmental structures.	Installation around 2012 of capacity reinforcement of "impoverished" structures that may last several years	Medium
		ii) Incomplete implementation of the necessary reforms	Impossibility of realizing these projects, impossibility of marketing the credits	The entire length of the program	High

Step/Component	Activity	Risk	Consequence	Timetable	Probability
		iii) Significant risk related to political risks in the country: REDD sees itself as a very long-term program that guarantees GHG emission reduction for at least 100 years.	Complete abandonment of the program, recurrence of deforestation and degradation activities	The entire length of the program	Very high, if the entire length of the program is considered
3. R-PP Component 3: Development of a baseline scenario	a) Evaluation of chronological data	Negligible	Negligible	Readiness Phase	N/A
	b) Analysis of the national situation	Negligible	Negligible	Readiness Phase	N/A
	c) Definition of the ERLs (Emissions Reference Levels) and the RLs (Reference Levels)	i) Environmental and social risk: negligible	Environmental and social consequences: negligible	Readiness Phase	N/A
		ii) Significant risk of imprecision due to the immensity of the territory covered, the presence of inaccessible areas, the number of sample plots (1,800), which is both numerous (titanic database) and potentially insufficient to establish a true portrait of the forest in the entire country. Another very important parameter: the length of research and inventories. It takes a lot of time	The credibility of REDD and REDD carbon credits from it depends in a large part on the credibility of the ERLs and the RLs. Risk of abandonment and/or failure if false representation at the international level	The entire length of the program	Very high

Step/Component	Activity	Risk	Consequence	Timetable	Probability
		and resources to evaluate such a dynamic situation that changes from day to day. Once the inventory is finished, the data collected at the beginning may no longer be up to date.	RLs and ERLs from a baseline scenario that overestimates emissions: obtaining undeserved financing. The possibility of obtaining financing for "avoided" deforestation that is, in reality, the normal situation.	The entire length of the program	Unknown
			RLs and ERLs from a baseline scenario that underestimates emissions: harmful to the country because it is more difficult than normal to obtain financing, the quantity of GHG emissions avoided being more elevated than the reality	The entire length of the program	Unknown
		iii) Development of inventory techniques	Difficult to reconcile the RLs and the ERLs from a baseline scenario with those determined during the subsequent national inventories	The entire length of the program	Very high
4. R-PP Component 4: Development of a follow-up system	a) General	i) Similar to the steps for establishing RLs and ERLs. The difficulties encountered at the initial step will presumably also be encountered during the MRV step.	Similar 3. c) ii) and 3. c) iii).	The entire length of the program	Very high



Step/Component	Activity	Risk	Consequence	Timetable	Probability
	b) System of satellite land surveillance	Complexity of the system. The national management capacities may prove insufficient to ensure its maintenance. Bringing in numerous foreign actors may still be necessary.	Lack of national ownership and the loss of precision after foreign consultants leave. The cost of surveillance becomes prohibitive and/or is not integrated in the real costs because it is financed from somewhere else	Risk may persist for the duration of the program.	Very high
	c) National forest inventory	The cost of forest inventory may be exorbitant, around €3,000,000 for 1,800 parcels, for 2 years of inventory by 4,000 people (AfBD project in the Republic of the Congo). Do the necessary human resources exist?	Reduce the profitability of REDD+ and its efficacy as a development aid program	The entire length of the program	High
	d) National greenhouse gas inventory	Non-functional system, exorbitant cost for the system,	Reduce the profitability of REDD+ without guaranteeing functionality	The entire length of the program	High
	e) System of monitoring socio-environmental co-benefits	Non-functional system (difficulty in linking the benefits to the actions), exorbitant cost of the system,	Reduce the profitability of REDD+ without guaranteeing functionality	The entire length of the program	Very high

### 11.3. RISKS RELATED TO THE MANAGEMENT PROCESS OF REDD+

A certain number of risks associated with REDD+ management appeared during the study of the strategy. These risks may be qualified as "structural," meaning that the general risks came out of the very nature of the system that the program seeks to implement.

#### 11.3.1. REDD+ MANAGEMENT AND ITS ENVIRONMENTAL COMPONENT

The national capacity to implement a national large-scale environmental and social management process has not been demonstrated. The Democratic Republic of the Congo is one of the last African countries to have adopted an environmental framework law in July 2011, law currently in force but without measures to enforce it. The national environmental action plan was never implemented. The management of the mining environment, left in the hands of the mining ministers, is largely deficient, and the efforts to support technical international assistance to implement the environmental component of PROROUTES, one of the most important in Africa for this type of project, remains extremely disappointing<sup>38</sup>. It is still possible to find mitigating circumstances for these situations. However, the results remain as they are and involve some questioning, especially because the Ministry of the Environment is the one that has received the most international technical support for the last five to six years.

It must be asked in what measure the country will succeed in managing the entirety of the implementation aspects of the REDD process, which, on the technical and institutional level, is clearly more complex than anything that has been put into effect in the country up to the present date.

#### 11.3.2. REDD AND LAW NUMBER 11/009

The DRC, with the support of several technical and financial partners, is initiating reforms in different sectors. In order to be implemented, REDD+ also needs certain sectors to be reformed — specifically, land rights, land use planning, agriculture and energy.

In our opinion, one of the first steps for REDD readiness would be to ensure that the key reforms in progress take into account the preoccupations defined by the analysis undertaken by the national REDD process. Law number 11/009 of July 2011 based on fundamental principles for environmental protection, in other words a Framework Law on the Environment, must ensure that the different government policies take into account sustainable development principles. NC-REDD would be advised to use Articles 7<sup>39</sup> and 14<sup>40</sup> of this law to influence sectoral policy reform. For the moment, this task is relegated to the Inter-ministerial Committee, which is not yet in place. These Articles should logically be implemented by the Sustainable Development Department, the same that includes the REDD+ process.

The REDD process, which at the moment is managed as a project dependent on the office of the Ministry of the Environment, should also include itself in the institutional framework defined in Articles 15 to 18 of the framework law by playing a key role in preparing the national policy.

Without such an approach, REDD will be a strategy (plan) in a non-existent policy, and therefore difficult to integrate on the multi-sectoral level because the plan, unlike the policy, has no obligation to be adopted by the government.

It is preferable that the following prerequisites, as defined by Law 11/009, be put in place before the REDD strategy is implemented, namely:

<sup>38</sup> Environmental and Social Consulting Panel, Evaluation of the environmental and social management process of Pro-Routes and the support for implicating the environmental and social component of the project, Final Report of the first mission, for publication in October 2012

<sup>39</sup>Article 7: *Environmental protection and managing natural resources shall be ensured in a way that equitably responds to the development needs of the present generations without compromising the capacity of future generations to respond to their own needs. Every national policy concerning social and economic development should integrate this principle.*

<sup>40</sup>Article 14: *The State, the province and the decentralized territorial entity shall ensure that the development and the implementation of sectoral plans and programs integrate norms regarding the environment and sustainable development.*

- Putting in place a National Council on the Environment and Sustainable Development;
- Defining the national policy on the environment and sustainable development by this council (that includes a multi-sectoral REDD strategy);
- Validating, by the council, the National REDD Strategy as a multi-sectoral sustainable development strategy.

A certain number of implementation measures of said law were put in place by the Democratic Republic of the Congo Government in August 2014. These implementation measures constitute a normative framework necessary for effective implementation of the safeguard measures for the totality of the policies, programs and projects on a national scale. REDD+ shall also be included in this national undertaking. The following measures are included:

- The Decree that calls for the creation, composition and functioning of the Congolese Environmental Agency (CEA)
- The Decree setting the functioning rules for the procedural mechanisms of the Strategic Environmental and Social Assessment (SESA), the Social and Environmental Impact Studies (SEIS), Environmental Audits and Environmental Surveys;
- The Decree determining the Classified Facilities.

### 11.3.3. REDD+ AND THE SUPERPOSITION OF NATIONAL LAND USES

Despite the enormity of the country, the areas that allow carbon stocks to be preserved for the long term without risk are relatively few. Because of the large mining and oil potential in the country and the mining law that makes the mining zones predominant over other areas and zones, it is very difficult to perpetually protect the forests from being disturbed.

Apart from the economic situation and the price of mining products, only two situations may prevent mining exploitation in a given area:

1. If the area is legally protected before mining titles are given (even though, in the East of the country, there are oil explorations in protected areas and mining permits are granted in several protected areas; see figures 21 and 22).
2. If the environmental and social impact study of a mining exploitation is not conclusive (the disadvantages far exceed the benefits), and exploitation is not supported by the authorities. However, this scenario is unlikely in the current context, as it is the Mining Ministry that hands out environmental authorizations<sup>41</sup> and exploitation authorizations. Its interest lying in exploitation, no project has been rejected following the SEIS.

This implies that no matter the type of REDD investment, they will always be susceptible to being confronted with the Mining Code, which takes priority over other uses of the land.

Also, the only easily identifiable option for conserving REDD zones perpetually would be if the zones in question are not established on existing mining titles and that the zone becomes a protected area legally separated from mining activities.

Added to this is the problem of the overlapping uses of the same territory (mining, oil, logging, conservation, agriculture, etc.), as well as the overlap of different legal systems (customary and modern laws) and all of the challenges and sources of conflict that this overlapping includes.

<sup>41</sup> Reform of the mining sector is underway and, unless there is any major surprise, the permits will be handed out within the framework set out in the Environmental Code, which should allow better governance of the mining environment sub-sector.

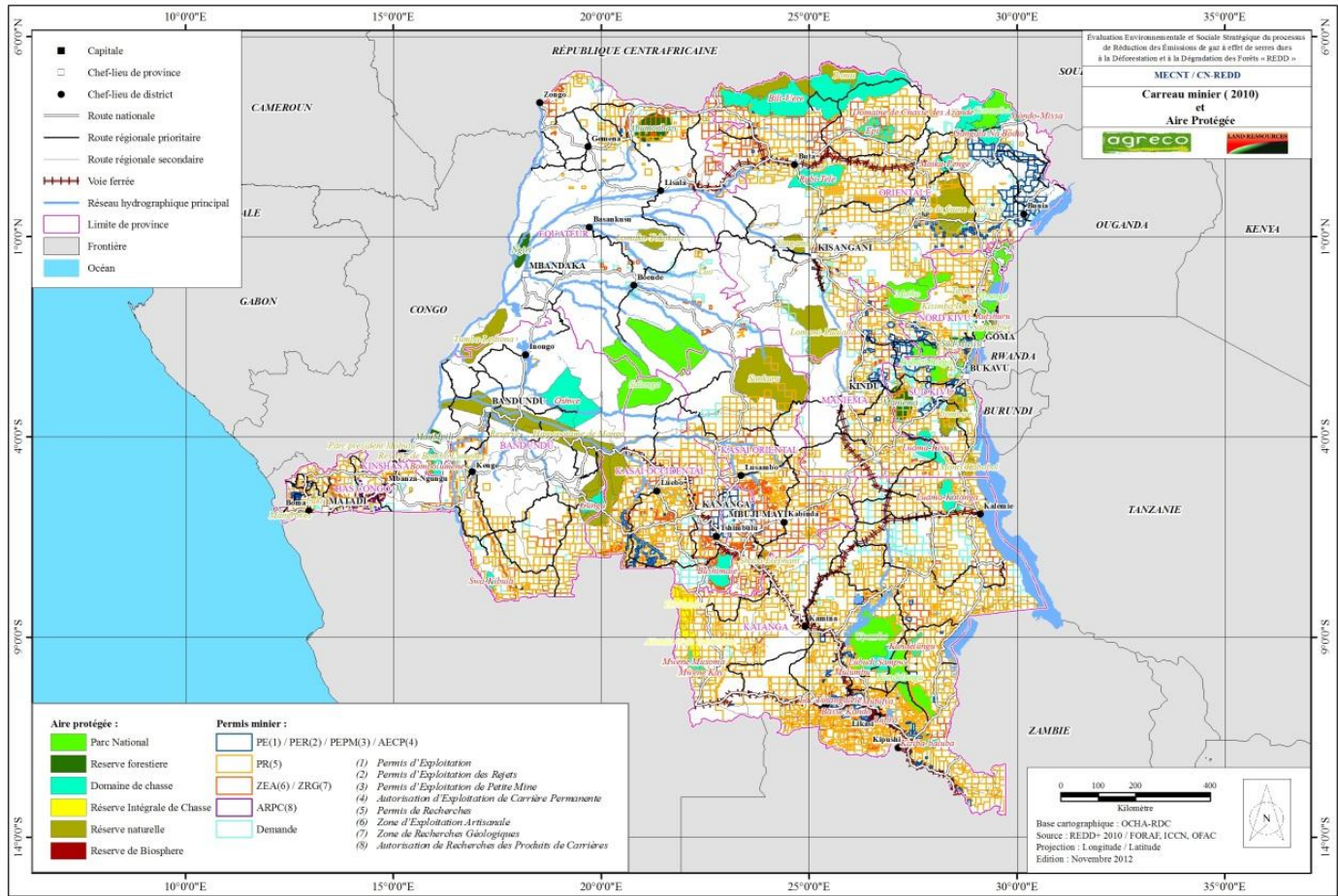


Figure23: Mining Permits in 2010 and Protected Areas



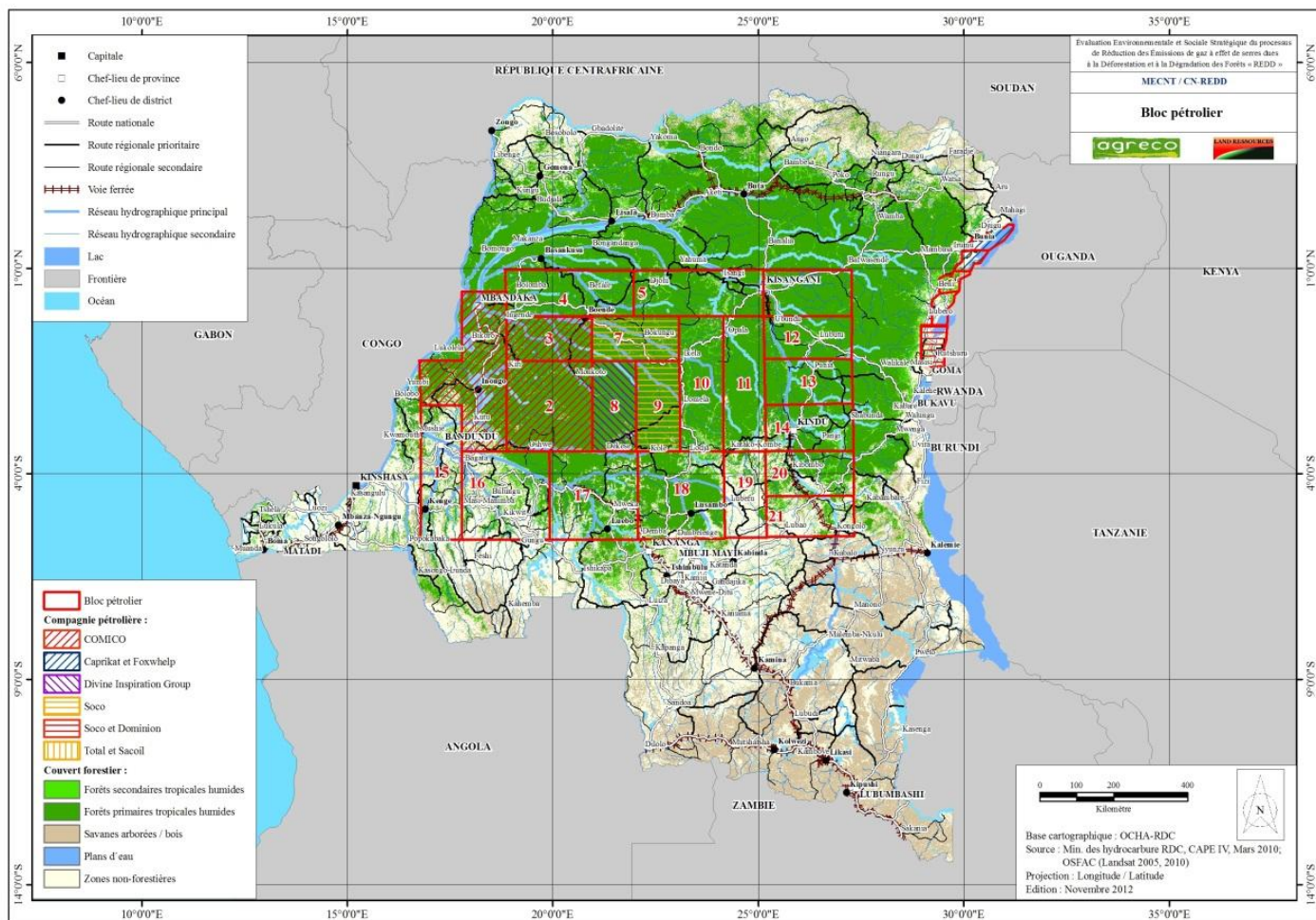


Figure 24: Oil Blocks and Forest

### 11.3.4. REDD AND PROTECTED AREAS (CLASSIFIED FORESTS)

One of the REDD pillars is the use of conservation to ensure long-term carbon stock. Though not defined with certitude, the actual surface area of protected areas in the country is estimated at between 10 and 13%. However, this estimation is on paper only. There has still not been any account of each of the protected areas of the country that would determine their state in terms of the biodiversity and representativeness of the ecosystems.

However, within the REDD context, the areas would have the advantage of protected legal status that will safeguard them, a priori, from the reach of mining and oil zoning. It would be preferable if the protected areas that have little or no potential for conservation or biodiversity protection could be used for carbon stock (with criteria to be determined), which would protect them legally, instead of declassifying these zones, which would leave them accessible to mining zoning and limit their usage possibilities for REDD.

### 11.3.5. COHESION OF THE STRATEGY CONCEPT

The national REDD authorities are placed in a delicate situation in that to develop the REDD program, they must include a great number of uncertainties that are out of their control. REDD will be aligned with decisions (from the UNFCCC, an international process related to the United Nations) the shape of which are still little or poorly defined. This situation risks not improving before a certain time. In addition, as REDD carbon credits are still in their infancy (because certainty on an international level is needed for them to truly be viable), the projects currently in operation throughout the world are few and often experimental. Detailed information on the types of activity that the projects may involve, as well as the types of management structure that they may use, is thus equally rare.

It is probable that this has led to certain delays in the development of the strategy, as the absence of management on the part of international authorities contributes to an increase in the number of scenarios and variants possible in regard to the outcome of international negotiations. Consequently, this has also led to delays in the development of the national mechanism, as NC-REDD considers that all these scenarios must be accommodated within the Democratic Republic of the Congo's national REDD process.

This problem is evident in reading documents about the strategy and the types of project: national authorities must conceive of a strategy that excludes no possible outcome from international negotiations, undoubtedly to allow rapid undertaking of the national strategy within an international mechanism for when it will be in operation. This desire to maintain the most complete possible beginning for future solutions has, however, led to a lack of cohesion in the strategy and its implementation programs, which makes its global comprehension quite difficult.

The authors of the current study believe that this absence of a "backbone" in the Democratic Republic of the Congo's REDD strategy (National Strategy and implementation plan) leads to two main risks. First, the difficulty in considering the strategy as a coherent whole risks making its implementation more difficult, as understanding it is difficult and susceptible to cause divergent interpretations, this lack of cohesion risks confusion during implementation. Additionally, this complexity could be a serious impediment for the strategy's approval by national authorities and local populations and thus, a menace to its long-term success.

The elements that have led to this conclusion are as follows:

### *National Strategy without a Clear Direction*

As mentioned at the beginning of Chapter 6, the National REDD+ Strategy of the Democratic Republic of the Congo is the document defining how the country will put actions into effect to combat deforestation and forest degradation until 2030. In addition, it being a quasi-legal document, the Strategy must avoid being too restrictive in order to allow a maximum number of activities that contribute to its objective of reducing deforestation to be carried out. At the same time, it must not be too vague in order to offer a coherent vision of the intended actions.

According to this approach, a strategy is equivalent to a plan from which comes programs and projects. In principle, this strategy depends on a policy, as set out in the Law of July 11, 2011 (Framework Law on the Environment). According to this law, the policy must be prepared by a National Council named by the Prime Minister. For the moment, this institutional and planning equipment does not exist.

Version 0 of the National REDD Strategy had 13 pages and four multi-sectoral strategies developed to combat several deforestation factors simultaneously and to integrate the management of compatible activities:

1. Governance of the REDD process, forest governance and communications: this strategy was developed to win REDD approval by governmental authorities, the private sector and the population by implementing a certain number of activities, the coordinated management of which is possible and will attain the most effective results;
2. Land rights management and spatial planning: these two elements were integrated into a strategy making the choice to construct land-use zoning and management systems starting at a local scale, and moving towards the provincial and the national scales;
3. Alternative energy: this strategy sought to implement — based on the characteristics of each region of the country and prioritizing those where the level of deforestation is highest — a portfolio of alternative energy solutions to fuelwood, including reforestation on a grand scale of rapid-growth trees along with improved charcoal-making facilities;
4. Structuring and organizing rural areas: this strategy was the most integrated of the four, and sought to structure rural areas in a way that eliminates their dependence on the forest for their supply of food sources. It seeks to develop and apply regional development plans that take into consideration, among others, elements such as:
  - Land security and zoning (see land-use strategy);
  - Agroforestry;
  - Natural inputs:
  - Diversification of agricultural activities and "revenue-generating activities";
  - Transformation and conservation of agricultural and food products;
  - Improving basic infrastructure;
  - Marketing agricultural and food products;
  - Managing modes for community activities: cooperative, mutual, etc.;
  - Access to microcredit;
  - Handling of gender aspects.



As for Version 1.1 of the National Strategy, it is nearly 50 pages long and contains seven distinct programs. Unfortunately, this increase in volume is not done specifically or systematically. Specifically, the seven programs proposed include the following risks:

1. Energy: the planned activities are almost entirely about studies, national collaborations and other evaluations, while energy solutions and options are already possible. A more directive strategy based on action would be desirable, without which the energy strategy may produce very weak results.
2. Agriculture: as opposed to the energy program, the agriculture program is too precise and runs the risk of unnecessarily limiting implementation options available for sites with certain particular characteristics. In this case, it would be preferable to be less directive and leave assessment of the strategic options to the professionals as far as the characteristics of each site on which an intervention strategy will take place is concerned.
3. Forests: the forestry strategy has three constituents. These are:
  - i. Sustainable management of forest carbon stocks: This constituent relates to controlling industrial and artisanal logging to limit their impacts, through reinforcing the legal framework and enforcing legislation. This element is pertinent;
  - ii. Conservation of forest carbon stocks: Increasing forest carbon stocks by reevaluating the state of the protected areas and reinforcing them following a series of studies. This element comes back to PNFCo's important elements; PNFCo [the Congolese Forest and Environment Sector Project] is a vast forest program underway in the Democratic Republic of the Congo. This constituent of the forest strategy runs a very high risk of duplication and using inappropriate funds and resources, without mentioning its express alignment with PNFCo;
  - iii. Increasing forest carbon stocks by identifying opportunities to increase carbon stocks inside or outside the forests, to supply large cities with wood products and to protect the soil. This element is typically already covered by the energy program. Once again, to avoid wasting funds and duplicating activities, it would be necessary to make specific reference to them.
4. Governance: overall, this program is pertinent.
5. Land rights: overall, this program is pertinent.
6. Spatial planning: overall, this program is pertinent.
7. Demography: this program is a recent addition to the National Strategy. Even though the population increase is linked with deforestation, the authors of this study believe that it is not very probable that the REDD program could lower the birth rate on a large enough scale to have an impact on deforestation. This program poses the risk of being unclear and being a poor use of resources by diverting efforts toward a problem that is too far from its real objectives (the fight against deforestation).

As to its form, Version 1.1 of the Strategy is presented as a portfolio of intervention programs, whose procedural guidelines are at a standstill. This is a problem, as this type of presentation is appropriate for a public development program, but not necessarily for the private promoters that REDD is trying to attract, for whom a list of possible or acceptable general activities would be preferable. In fact, in its current form, the Strategy gives the impression that it must be applied to the letter, while a multi-sectoral, geographically integrated REDD or PES project may be difficult to apply.

### *Confusion about the Typology of Intervention Activities*

We believe that the typology of interventions presented in section 6.3 of this study is still too confusing to be operational. The categorization of the types of intervention activities (REDD project, REDD investment, aligned initiative, green initiative) is not reflected in the classification table at the end of this section, except for the considerable efforts to decipher it. In our opinion, a lapse in making thoughts on implementation systematic, if not corrected in the short term, may lead to the failure of the program itself.

The complexity of the typology of intervention activities may be another symptom of the difficulties and uncertainties that the REDD authorities in the Democratic Republic of the Congo must face. It seems that they were developed with the objective of excluding no single activity type, but without concentrating on the underlying objective of REDD, which is to reduce deforestation.

## 11.4. SPECIFIC RISKS OF THE VARIOUS TYPOLOGIES

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### 11.4.1. REDD INVESTMENTS

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The authors of this study believe that REDD investment is the typology that best presents the relationship between the potential success in combating deforestation and the risks involved. Regarding the potential for carbon forest emissions, the initial FIP documents estimate it at 18.1 MT CO<sub>2</sub>e. It should be noted that REDD investments are not necessarily limited to the FIP.

The concept of REDD investments does not present new structural or systemic risks. In fact, REDD investments are included with investments from classical development aid, which present known management risks. The technical and logistical difficulties, necessary human resources and reinforcing capacities are difficulties that should typically be foreseen and vary in regard to the nature and the scope of the project. Management costs should be similar to (or should be less than) those of similar development projects or programs. Such risks are thus relatively controllable by applying strict principles of management, safeguard policies and accountability. Another point supporting the REDD investment typology is that the uncertainties of management that surround it are low: the way to carry out development projects is well known.

#### 11.4.1.1. PES Projects

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The concept of PES projects is innovative and, because of this, it presents higher risks than REDD investments. However, we believe that these risks may be managed and that environmental and social benefits may come from PES projects.

PES projects present good potential results in the fight against deforestation. The relatively simple concept of remunerating a promoter for supplying environmental services is promising. In practice however, its application should be based on environmental and social safeguards that are subject to strict monitoring to ensure equitable sharing of revenues and respect for the local populations. On a technical level, PES projects present greater difficulties than REDD investments because the government must ensure that the environmental services provided are compliant before submitting the payments. The accountability methods for these environmental services are relatively novel and will probably require a period of testing and acclimatization before they are well adopted by the administration. A supplementary level of capacity reinforcement will thus be necessary. From a logistical point of view, as for REDD investments, the difficulties will be unique to each project and proportional to its size and isolation/remoteness.

The costs and the human resources necessary to manage a national system of PES projects will be proportionally larger than those of REDD investments. However, it is probably possible to put in place mechanisms adapted to reduce costs. This type of financing based on results, if managed in an appropriate way, may bring advantages regarding the efficacy of financing. However, to get there, a solid group of private promoters will be necessary. If not, the negative impacts could negate the benefits.

The main uncertainty of the PES projects is thus related to the public authorities' capacity and motivation to appropriately manage the private promoters' conduct.

#### 11.4.1.2. REDD Projects

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The REDD projects' potential to reduce deforestation may be compared to that of a PES project on a project level, though on a national level it may be less: PES projects, being less complex and financially risky, may be numerous and have a larger cumulative effect (the uncertainties and the future of an international carbon market remain the same).

The technical and logistical difficulties associate with a REDD project are very significant for the project promoter and relatively low for the government, which plays a low-profile role. Several months, if not years, of various studies are necessary to put a project in place, indicating a very large investment by the promoter. The promoter must hire a significant number of human resources specialized to conduct these studies, as well as independent international experts to validate and verify the results expected from its GHG emission project. The promoter will then try to sell the "REDD credits" generated for revenue.

The government plays a low-profile role in this process and has few expenses. Its role is often limited to approving projects and monitoring their implementation conditions, specifically by applying environmental and social safeguards. From the

government's point of view, management efforts are relatively low: the technical and logistical difficulties, hiring of human resources, reinforcing capacities and the overall costs are nearly all up to the promoter.

The main risk associated with REDD projects concerns the risk that the project will be abandoned midway, as well as the bad press and the disappointment that would result. This risk is associated with two specific uncertainties of REDD projects. First, a failure of international negotiations on REDD would lead to the disappearance, for all intents and purposes, of the market for REDD credits, and consequently the abandonment of numerous projects based on the sale of these credits as the only source of substantial revenue. In addition, the totality of the technical and logistical difficulties, the financial demands and the need for specialized human resources that REDD project promoters face, make managing them extremely complex. This complexity increases *de facto* the risk of defection and abandonment of projects during economic, political, corporate or other types of turmoil.

The problem of overlapping uses of land is also present for REDD projects. In the current Mining Code, only the President may withdraw portions of land that are claimed under a mining land registry. While undertaking a REDD project on spaces open to mining permits, the promoter exposes itself to the possibility of seeing a large part of its efforts destroyed without being afforded any indemnity. This situation may also affect the credibility — and the value — of REDD credits from the Democratic Republic of the Congo on the international carbon market, which further reduces the appeal of the country for REDD investors.

For these reasons, we believe that the immediate launch of a national system of REDD projects includes significant risks that are not balanced by a large potential reduction of deforestation. We thus think it opportune to only open the country to REDD projects when the REDD international landscape holds a sufficient amount of certainty to reasonably believe in the future of the mechanism.

#### 11.4.1.3. REDD Aligned Initiatives

The authors of this study believe that the notion of a REDD-aligned initiative carries very significant risks, as no precise criteria have yet been put forth to define the types of intervention activities that may receive the label REDD-aligned initiative. In the example of the aligned initiative in section 6.4 of this report, a mining company carrying out reforestation to compensate for the areas of deforestation for which it is responsible may have the right to a REDD-aligned initiative label. In such an example, a multitude of questions must be answered so that the environmental integrity of the REDD-aligned initiative is preserved.

In institutional terms:

- In principle, one of the basic environmental rules that apply to any mining exploitation project is to put the areas exploited back into their original state, with such restoration happening gradually;
- The promoters are responsible for limiting the direct and indirect impact of their exploitation as well as for compensating for the loss of forests and ensuring the protection of the zones that they make accessible through their exploitation.

All of these aspects must be managed by the public organization in charge of environmental assessment. Also, the aligned initiative appear as a label that, in certain cases, may well be below the environmental obligations associated with applying the existing law or the Framework Law on the Environment, and thus not necessarily in line with applying the law and its regulations (to come) that ensure the obligatory implementation of this type of activity.

This being the case, it is inconceivable that any label whatsoever be obtained when a mining company protects the forest made accessible by it and the reforestation it undertakes to account for the losses of forest that it directly or indirectly caused, which is an obligation of the basic principle of environmental protection!

In terms of REDD

- What is the level of annual greenhouse gas emissions from industrial activities of the mining sector, and the use of the energy it consumes?
- What is the level of greenhouse gas emissions from deforestation directly caused by this sector?
- What is the level of greenhouse gas emissions from deforestation driven by this sector? For example, if the mine is located in an area of virgin forest, there will be deforestation along the access route and around the mine, due to the opening of an access to the territory and the opportunistic migration that will follow this facility and economic activity.
- Does the company respect the environmental and social safeguard requirements?

Furthermore, in the example of a mining company located in an area of virgin forest, it will be directly or indirectly responsible for the three types of GHG emission. It should be highlighted that once a road to virgin forest is opened, direct deforestation is seen along an area about 50 meters from the road, while deforestation several years later may reach to several kilometers on each side of the road. In such an example, it is not justifiable to grant such a company a label of REDD, unless it takes measures to compensate for all of the GHG emissions. The same goes for non-respect of the minimal social criteria regarding the company's exercise of its activities.

If very strict conditions are not attached to this label, the aligned initiatives risk being used as "greenwashing" opportunities, particularly by private companies. Thus, it is our opinion that implementing the typology of "REDD-aligned initiatives" should be suspended until these sufficiently strict delivery criteria are issued. Otherwise, the risk of damage to the reputation of the REDD program in the Democratic Republic of the Congo could be considerable.

#### 11.4.1.4. *Green Initiatives*

As the authors of this report understand, the category of green initiatives show REDD authorities' desire for maximum visibility of their process by associating it with the largest number of projects and initiatives possible. The REDD authorities' documents suggest an intention to grant this label to initiatives that contribute to green development in the Democratic Republic of the Congo, but that do not necessarily contribute to reducing deforestation. However, since REDD is a program seeking to reduce GHG emissions from deforestation, one wonders about the pertinence of this intervention category.

Aside from the potential lack of pertinence of this category of activities, its risks are related to its imprecision: the details known are insufficient to know what there is to do, and how, under the heading of green initiative.

As combating deforestation is the underlying objective of REDD, we are of the opinion that this intervention category should be abandoned.

Furthermore, as is the case with aligned initiatives, green initiatives appear as a label that, in certain cases, may well be below the environmental obligations associated with applying the Framework Law on the Environment, and thus are not necessary in line with applying the law and its regulations (to come) that ensure the obligatory implementation of this type of activity.

## 12. REDD+ ACTIVITIES AND THEIR IMPACTS

The concrete activities or those "on the ground" that may be undertaken within the REDD+ framework are numerous. A general list has been made based on what was set out in Version 1.1 of the REDD Strategy. This list appears in Table 18.

The goal of this analysis is to prepare a preliminary classification of the types of REDD projects that may be enacted, in relation to their negative effects on the environment and the social sphere. This classification is to apply the guidelines of the ESMF [the Environmental and Social Management Framework] and to give a basis for reflecting on the types of impact that could come out of REDD activities. These lists are not exhaustive and are only a starting point.

It is also important to understand that certain activities that are presented here have been in practice for decades in the country, without major environmental or social constraints being imposed on them, due to the nonexistence of any appropriate regulation.

Article 21 of the Environmental Code states that the Council of Ministers will set the statutes for different categories of projects or for activities for an environmental study, its content, the approval methods, and the procedure for consulting with the public.

Because the REDD process is a national process, projects bearing the label must follow national regulations. For this reason, a Social and Environmental Impact Study, SEIS, must be done if the law requires it.

The REDD process cannot be more restrictive than national law. In addition, it cannot allow authorization without all of the requirements of the different national laws being communicated to the promoter/project and satisfied by the promoter, specifically where the environment is concerned. The management framework takes this into account and contains recommendations in this regard.

**Table 18. General List of Potential REDD Sub-activities**

<b>Sector</b>	<b>Types of Concrete Activity</b>
<b>Agriculture</b>	Annual crop production
	Plantation crop production
	Husbandry and pasture management
<b>Energy</b>	Improved charcoal-making techniques
	Biofuel production (jatropha, sugar cane, palm oil)
	Biogas from landfills
	Biogas from Lake Kivu
	Micro and mini electricity
	Making and distributing improved stoves
<b>Forest</b>	Plantations and assisted regeneration
	Community forestry
	Protected areas
<b>Governance</b>	Negligible potential impacts
<b>Spatial planning</b>	
<b>Land titles</b>	Land use planning
<b>Land titles</b>	Micro-zoning and land security
<b>Demography</b>	
	Negligible potential impact of activities

Among these potential activities, some have not been included in a detailed analysis within the framework of this SESA. The biogas projects (from landfill sites and Lake Kivu) must undergo detailed environmental and social impact studies because of their highly specialized character, and especially because of the very specific impacts that they will generate on the sites chosen and the design of the project. Conservation projects (protected areas) will be handled within the process framework produced by this environmental assessment. The national programs for land title reform and spatial planning must undergo a distinct environmental and social assessment because of the important changes to these underlying programs. Furthermore, it would be opportune to undertake one SESA grouping these two programs because of their apparent "kinship".

Among the remaining activities, some have been handled simultaneously:

- Agricultural activities have been grouped together;
- Activities for increasing forest carbon stocks have been added to plantation activities;

Finally, community forestry is a collection of activities that is found within other agricultural and forestry categories.

The activities that will be analyzed in the current study are shown in Table 19:

**Table 19. List of Analyzed Sub-activities**

<b>Types of Concrete Activity</b>
Agriculture: Annual crop production, plantation crop production, husbandry and pasture management
Improved charcoal-making techniques
Biofuel production (jatropha, sugar cane, palm oil)
Micro and mini electricity
Making and distributing improved stoves
Plantations and assisted regeneration

It should be noted that the above activities exist already or have already existed in the Democratic Republic of the Congo, sometimes on a reduced scale. The objective of REDD is to redesign their implementation in order to orient them towards reducing deforestation and the GHG emissions associated with it. Thus, REDD can be seen as a method allowing development

activities that already exist in the country to benefit from carbon revenues and to participate in an international process of carbon financing.

It is also important to take into account that the majority of these activities are already regulated in the country and that the major change that REDD will bring is to establish more strict environmental criteria than those for a normal investment. For example, an investor may currently carry out reforestation activities in the Democratic Republic of the Congo, because they are already allowed by regulations; a REDD reforestation, however, will respect certain basic criteria (socio-environmental) to be defined within the environmental and social management framework to come.

## 12.1. AGRICULTURAL ACTIVITIES

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The analysis of agricultural activities undertaken within the REDD framework have been grouped into one step, uniting husbandry and pasture management, annual crops and plantation crop production. This analysis is presented in Table 20 below.

Overall, the potential agricultural impacts are largely documented and may be controlled with the help of mitigation measures.



Table 20. Analysis of Agricultural Activities Undertaken Within the REDD+ Framework

Activities	Potential Negative Impact	Mitigation Measures
Husbandry	Loss of habitat and diminishing biological diversity due to the replacement of natural forests by pastureland.	Forbid converting natural forest into pastureland.
	Pollution of the water by animal waste, erosion due to trampling the banks, burying the waterways.	Prohibit animal access to the waterways by installing fencing, buffer zones or other physical barriers; provide water to animals with troughs or temporary ponds filled by pumping or capture
	Over-pasturing prairies	Adopt a system of rotational grazing based upon the capacity of seasonal recuperation and the ecosystem area (the riparian zones, for example); create improved pastures within an agroforestry framework
	Compaction of the soil by animal trampling	Keep livestock on paths to reduce the compaction of soil and the formation of gullies.
	Transmission of livestock illnesses to wild animals	Avoid as much as possible the opportunity for contact between wild animals and livestock.  Identify and isolate sick animals and create management procedures to ensure proper removal and elimination conditions for dead animals.
	Social conflicts due to land use	Open a platform for dialog. Undertake micro-zoning with land users and right holders.

Activities	Potential Negative Impact	Mitigation Measures
Perennial plantation crops (coffee, cocoa, bananas, citrus fruits, palm oil, rubber trees, etc.)	Loss of habitat and diminishing biological diversity due to the replacement of natural forests by agricultural land.	No deforestation carried out to make place for annual or plantation crops. For example: Install coffee and cocoa plantations on degraded forest or old swidden fallows, conserve shade trees and use degraded savanna by restoring their fertility.
	Soil erosion	Limit mechanical work on the soil (maintain artisanal exploitation) leave a vegetation layer on the soil.
		In sloping areas, attentively and prudently choose plantation zones and orient the crops in alignment with the slope of the land to prevent erosion due to precipitation; keep a permanent vegetation cover on the soil.
		Limit the areas of monocultures and plantations.
		Favor agroforestry: plant intercroppings to reduce erosive action from wind or heavy rains.
	Introduction of invasive species	Use certified seeds.
	GMO seeds	Evaluate the consequences and risks that may result from introducing GMO seeds, paying particular attention to the invasive potential by identifying mitigation measures that may be used.
The risk of introducing harmful organisms must be managed according to international and national norms for phytosanitary measures.		

Activities	Potential Negative Impact	Mitigation Measures	
	The risk of increasing crop pests because of a larger production	Protect the natural enemies of these pests by ensuring their breeding habitats, such as hedges, nest sites and native vegetation, large trees, etc.	
	Management of pest control products: contamination risks to the soil and water	Favor integrated pest management minimizing the use of chemical pesticides.	Refer to the Pest and Pesticide Management Framework, produced along with this Environmental and Social Assessment.
Annual crops	Types of crops and planting sites	Prioritize crops that introduce trees, avoid deforestation to acquire new cropland, favor the development of agroforestry, and avoid planting annual crops on steep slopes.	
	Managing soil fertility: the risk of over-fertilizing and polluting waterways	<p>Train farmers regarding integrated management of nutrients that is based on the principles established in the published manuals for agricultural practices. These manuals contain, among others, the principles of:</p> <ul style="list-style-type: none"> <li>• Planting cover crops, especially during the fallow period and in wet areas, to limit the loss of nutrients;</li> <li>• Practice crop rotation to grow legumes for nitrogen fixation;</li> <li>• Incorporate organic waste into the soil rather than burning them;</li> <li>• Incorporate manure into the land or the beds between the crops so the plants can better use the nutrients, which reduces the loss of these elements and their contamination effect. Do not spread manure or slurry directly in pasture area or on edible crops;</li> <li>• Schedule periods for spreading nutrients based on meteorological data to avoid doing so during rainfall or if rain is forecast;</li> <li>• Use appropriate material to spread manure;</li> <li>• Establish buffer zones or other untreated areas along water sources, rivers, ponds, lakes and ditches that will act as filters to catch soil run-off;</li> <li>• Plan and note in writing integrated nutrient management activities so that a fertilizer registry may be kept;</li> <li>• Plan the management of spreading materials so that an efficient amount is ensured.</li> </ul>	

Activities	Potential Negative Impact	Mitigation Measures	
	Management of pest control products: contamination risks to the soil and water	Favor integrated pest management minimizing the use of chemical pesticides:	Refer to the Pest and Pesticide Management Framework, produced along with this Environmental and Social Assessment;
	Poisoning by pesticides	Ensure adequate training for end users in purchasing, storing and using pesticides and other phytosanitary products	Refer to the Pest and Pesticide Management Framework, produced along with this Environmental and Social Assessment;

## 12.2. IMPROVED CHARCOAL-MAKING

Making charcoal carries few environmental and social risks compared to the status quo, because it is about improving an activity already practiced (artisanal charcoal-making). In general, improved charcoal-making will significantly increase the efficiency of making charcoal (reducing losses), as well as reducing the quantity of wood required per unit of charcoal produced. The GHG emissions from the charcoal-making process itself will also be reduced<sup>42</sup>.

A risk of failure due to the large complexity of the production, transportation and distribution network for charcoal exists in the majority of Sub-Saharan Africa, including the Democratic Republic of the Congo. A study regarding the market for charcoal in the areas concerned should be conducted to target the actions to take and positively influence the development of the sector. Table 21 below lays out the potential impacts identified and the mitigation measures.

**Table 21. Potential Impacts Identified and Mitigation Measures for Improved Charcoal-making**

Activities	Potential Negative Impacts	Mitigation Measures
Improvement for artisanal charcoal making	Improve the competitiveness of certain producers compared with others	Ensure that the actions for improvement are accessible to all those interested without exception; ensure that technology is widely distributed. Avoid excluding certain groups of producers.
	Accelerated degradation of the forest. Certain notable people of influence may profit from the occasion by putting in place large-scale exploitation in protected or other forests.	Put in place an accreditation system for producers to structure the system and avoid harmful effects.  Deregulate and/or avoid quasi-monopoly systems.
Industrial and semi-industrial ovens	Disruptions in the job market in producing areas	Prioritize employing workers for charcoal-making in each region where charcoal-making units will be installed.

## 12.3. BIOFUEL PRODUCTION

The production of biofuel, from raw materials such as jatropha, sugar cane or palm oil includes two components: growing "energy plants" and transforming production of biofuel.

On a small or large scale, growing jatropha, sugar cane or palm oil is completely akin to an agricultural activity. Consequently, the potential impacts of this phase of activity are the same as those set out in section 8.1 of this chapter. Particular importance must be given to avoid competing with food crops in order to limit negative impacts on food production in the regions concerned.

Regarding the biofuel production process, the impacts depend on the scale of operations. Community biofuel production processes will presumably have negligible environmental and social impacts because of the very small scale of operations. Industrial production will have more significant impacts that must be evaluated independently, through an environmental and social impact study based on the specific technical characteristics of each industrial project underway.

<sup>42</sup>Source: The World Bank (2011), "Wood-based Biomass Energy Development for Sub-Saharan Africa, Issues and Approaches", Africa Renewable Energy Access Program (AFREA), Washington. [online] [http://siteresources.worldbank.org/EXTAFRREGTOPENERGY/Resources/717305-1266613906108/BiomassEnergyPaper\\_WEB\\_Zoomed75.pdf](http://siteresources.worldbank.org/EXTAFRREGTOPENERGY/Resources/717305-1266613906108/BiomassEnergyPaper_WEB_Zoomed75.pdf) Pages 21-22.

Table 22 below lays out the potential impacts identified and the mitigation measures.



Table 22. Potential Impacts Identified and Mitigation Measures for Biofuel Production Activities

Activities	Potential Negative Impacts	Mitigation Measures
Planting plantations	Habitat loss and a reduction of biological diversity due to natural forests being replaced by plantations containing a limited number of homogenous species.	Choice of site: Establish plantations only in degraded savanna areas (no natural forests, agricultural or fallow land, pastureland, habitation area or economic activity area may be converted to energy plantations).
	Competition with food crops	
	Other impacts: see the section on agricultural activities (8.1)	See section 8.1
Biofuel production	Atmospheric emissions	Negligible risks for artisanal projects. Conduct an independent SEIS and ESMP for each industrial project
	Waste production	
	Liquid run-off	
Transporting biofuel productions (industrial)	If by pipeline (typical impacts of pipeline projects):	Management of dangerous products, stocking and transportation norms.
	If by truck: Risks related to temporary storage, transporting explosive products and contaminating the environment.	Management of dangerous products, storing and transmutation norms, special training for truck drivers and special equipment aboard the trucks.

## 12.4. MINI AND MICRO HYDROELECTRICITY

As with the majority of activities described in the previous sections, the magnitude of the impacts associated with mini and micro hydroelectricity often depends directly on the scale of the project. Table 23 below includes all the impacts and mitigation measures for mini and micro hydroelectricity projects. These mitigation measures may be used or adapted in relation to the magnitude and the activities of the particular project. .

It should be noted that there are other ways to produce electricity on a small scale from residual biomass or produced biomass:

- Methanizing waste, manure, etc.;
- Producing vapor from combustible waste, agricultural waste, used oil, wood, other products;
- Biofuel from jatropha, specifically the oil that can be used without being transformed into accordingly adjusted diesel.

All these activities, in whole or in part, are handled in this section.

Table 23. Potential Impacts and Mitigation Measures for Mini and Micro Hydroelectric Activities

Activities	Component Environment Affected	or Source of Impact	Description of the Impact	Mitigation Measures	
<b>Readiness Phase</b>					
Transportation of equipment to the site	Air quality	Rehabilitation of truck roadways and paths	Dust and noise	Control the speed of the trucks; system for handling incidents, accidents and complaints	
	Resident population	Trucks passing	Vehicle accident		
			Loss of agricultural production		
<b>Construction phase</b>					
Use/creation of roadways	Air and soil	Machinery traffic	Air pollution by dust and smoke from machinery, soil contamination from fuel	Control the speed of trucks	
		Earthworks			
	Water	Rehabilitation of bridges, culverts, gutters, tunnels	Water pollution	Use anti-erosion methods when necessary	
	Soil	Earthworks	Soil erosion	Adequately compensate for agricultural production losses with the help of resettlement plans	
		Machinery traffic	Soil compaction		
	Resident population along the route	Create access roads		Asset loss	Adequately compensate for agricultural production losses with the help of resettlement plans; involve local workers in the construction; system for handling incidents, accidents and complaints
				Dust	
		Increase in road traffic		Noise	
		Dust			

Activities	Component Environment Affected	or Source of Impact	Description of the Impact	Mitigation Measures
			Risk of accidents involving young children	
Use of fuel and lubricant	Ground and water	Fuel tank, engine oil	Ground and water pollution	Use of a suitable waste management system
Dam facilities, power plant, infrastructure and other facilities	Surrounding community	Excavation, infrastructure	Loss of assets	Optimization of expropriated areas; adequately compensate for losses of agricultural production by using resettlement plans; involvement of the local workforce in the building work; incident, accident and complaint handling system
			Loss of production	
	Ground	Earthworks	Soil erosion	Measures for preventing erosion; adequately compensate for losses of agricultural production by using resettlement plans
		Heavy vehicles coming and going	Soil compaction and vibration	
Work on the contractor's site	Health	Arrival of a large number of foreign workers for the building work	Increased risk of transmission of HIV/AIDS	Involvement of the local workforce; Awareness of STD/AIDS risks and protection measure
	Ground and water	Waste production	Increase of human waste that pollutes the environment	Waste management system; improve the distribution of drinking water
<b>Operations phase</b>				
Dam and water reservoir	Ecology of the river	Deviation of a large portion of the flow	Influence on the aquatic fauna and flora	Monitoring the impact of the dams on fish fauna, the proliferation of disease-carrying mosquitoes and the expansion of fish farming in the new reservoirs
	Population/Use of the river	Likely reduction in the flow of rivers affected on the diverted section	Use of the river disrupted over a short distance	

<b>Activities</b>	<b>Component Environment Affected</b>	<b>or Source of Impact</b>	<b>Description of the Impact</b>	<b>Mitigation Measures</b>
	Health	Water reservoir with possible proliferation of malaria-carrying mosquitoes	Increase in the prevalence of malaria and the risk of bilharzia	
	Accident/Health	Water reservoir	Risk of drowning	Strict security rules; incident, accident and complaint-handling system
Site operations	Health	Presence of operators who are wealthy compared to the local population	Increased risk of transmission of HIV/AIDS	Involvement of the local workforce; incident, accident and complaint handling system; awareness of STD/AIDS risks and protection measure
	Ground and water	Waste production	Increase of human waste that pollutes the environment	Improve the distribution of drinking water; waste management; incident, accident and complaint-handling system
Production of electricity	people	Production of electricity causing spontaneous migration to areas where electricity is available	Increase in population density; Social and land conflicts	Implementing regional development programs for mini and micro electricity to avoid spontaneous migration

## 12.5. MANUFACTURING AND DISTRIBUTION OF IMPROVED STOVES

The programs for manufacturing and distributing improved stoves are used in several countries as a measure of energy efficiency aimed at reducing the dependence of the population on forest resources. The negative environmental and social impact recorded since this type of program was introduced is very small, if not negligible.

However, the large-scale implementation of a program for manufacturing and distributing improved stoves could affect the availability of the raw materials used in manufacturing these stoves (e.g., sheet metal) in some regions. This could result in inflation for these specific materials and disrupt local supplies. Table 24 below outlines the potential impacts identified and the typical mitigation measures.

**Table 24.** Potential impacts identified and the typical mitigation measures for the manufacturing and distribution of improved stoves

Activities	Potential Negative Impacts	Mitigation Measures
Manufacturing	Inflation of prices for basic materials (metals, welding equipment, etc.)	Planning the availability of materials before the implementation of the sub-projects
		Planning the manufacturing of various concepts of improved stoves, using different materials so as not to destabilize local markets
Manufacturing	Shortage of skilled labor for the other economic activities	Planning training programs for skilled labor

## 12.6. AFFORESTATION AND ASSISTED REGENERATION

Afforestation and assisted regeneration activities are likely to be frequent and important in the context of REDD. The main impacts of these activities have therefore been identified in Table 25 below, which also sets out typical mitigation measures.

Table 25. Potential impacts identified and the typical mitigation measures for afforestation and assisted regeneration activities

Activities	Potential Negative Impacts	Mitigation Measures
Establishment of plantations	Habitat loss and decrease in biological diversity due to the replacement of natural forests by plantations made up of a limited number of species with a homogeneous structure.	Choice of site: Establish plantations only in areas of degraded savanna (no natural forest, agricultural land or fallow, pasture area, housing or economic activity area may be converted into plantations).
	Risk of damage to the natural environment caused by parasites and other pathogens because of the simplification of natural ecosystems, the abundance of food feeding these parasites, the extension of their habitat and the absence of natural pest control agents (in the case of the introduction of exotic species).	Wherever possible, select native and/or pest-resistant species  Increase the number of species planted and avoid single-crop farming over vast areas;
	Loss of forest products from local species.	Avoid converting natural forests into plantations.
	Propagation of species outside the plantation creating competition with local species, thus producing weeds in agricultural parcels.	Avoid species for which it will be impossible to control dissemination from the plot.
	Lowering of moisture contained in the ground and of the ground water in semi-arid regions.	Choose species that do not require a lot of water for the plantations established in semi-arid areas;
	site preparation: Direct impacts	Soil erosion due to clearing of the plot
Loss of organic matter and nutrients due to the removal of vegetation and leaching of the ground		



Activities	Potential Negative Impacts	Mitigation Measures
	Compaction and rutting of the ground by heavy vehicles	The removal of competing vegetation by mechanical means should be performed in the dry season in order to limit erosion;
	Atmospheric pollution caused by smoke from slash-and-burn	The removal of competing vegetation by slash-and-burn should be performed in the rainy season in order to reduce the risk of fire spreading;
Managing and operating the plantations: Direct impacts:	Soil erosion caused by logging	Replant as soon as possible after cutting down.
		Avoid clear-cutting and use the method of alternating small felling areas with areas where there is no logging.
		Restrict logging to the dry seasons or to periods of low rainfall.
		Planning the felling of trees to reduce transportation and avoid dragging that is parallel to the slope.
		Stabilize the tracks for transporting wood after use.
		Replace tractors with animal traction for the transportation of logs.
		In the short-rotation plantations, use the same tracks and unloading areas in order to protect the plot as much as possible.

Activities	Potential Negative Impacts	Mitigation Measures
	Loss of nutrients due to thinning and whole-tree harvesting	Leave logging residue on the ground and do not perform clear-cutting.
		Planting cover trees between rotations and using fertilizers as compensation for the loss of nutrients.
	Use of fertilizers, pesticides and herbicides that have adverse effects on the quality of local soil and water	Selecting species resistant to pests.
	Chemical and biological transformation of the ground as the bedding made up of one or a few predominant species alters the decomposition process	Prepare Pest and Pesticide Management Plans (PPMP) for each project using pesticides. Use chemical products that are as harmless as possible for the environment.
	Transportation of logs: soil compaction, localized erosion and uneven distribution of residues and organic matter.	Exercise control over the implementation of PPMPs and over the use of chemical products.
	Increased sedimentation in water courses	Limit the size of the plantations and alternate with natural stands
		Proscribe any logging within a 50 m-wide strip on both sides of water courses, and a 100 m-wide strip around their sources (in accordance with the Forest code, art. 48).
	Avoid the construction of earth dams through watercourses for their crossing.	

Activities	Potential Negative Impacts	Mitigation Measures
		Install sediment traps in watercourses.
	Accumulation of organic matter in the form of leaves or logging residues in surface waters or from the transport of timber on the watercourse, leading to qualitative alteration of the water, even eutrophication and risks for navigation.	Avoid transporting timber on the watercourses.
	Forest tracks: soil erosion	Locate tracks at the top of hills or in valley bottoms, thus avoiding significant differences in level on hillside slopes.
		Provide proper drainage.
		Consolidate paths using mulch and wood chips.
		Reduce materials extraction or adjust borrow pits after use. Ensure proper maintenance of paths.
Socio-economic impacts	Human impacts caused by the influx of workers.	Use local labor as much as possible, especially for plot preparation, planting, maintenance and cutting
	Problems relating to the use of land and resources resulting in inequitable distribution of costs and benefits generated by the project.	Promote the planting of species with multiple uses and which enhance soil fertility;

## 13. ALTERNATIVES TO THE REDD PROCESS

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To be comprehensive, an environmental assessment must present alternatives. One of these alternatives is to do nothing (*status quo* or *business as usual*), and the other alternatives must make it possible to achieve similar goals and also be economically and technically feasible, at least as much as the activities set out in the plan/program/project in the analysis.

### 13.1. THE STATUS QUO

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The *status quo* scenario has the following characteristics:

- A weak enforcement of the Forest code, Land code and other laws, as in the situation prevailing at the present time;
- Forest governance will remain at a very low level, the sector will always operate illegally and will be used in particular for money-laundering;
- In practice, a framework that has little respect for customary and formal rights of many rural and indigenous communities;
- Weak control over wood exports along the country's borders;
- The country's "protected areas" are difficult to safeguard;
- Weak control over small-scale wood production;
- Degradation of forest cover of 0.23%/year, percentage that will increase over the years due to population growth;
- Electrification will progress at a slower rate than the population increase;
- Fuel wood (providing 95% of household energy needs) is produced mainly from natural forests/regrowth. Production from reforestation will not even meet the increase in demand from population growth;
- Construction timber is always from natural forests and regional demand is increasing exponentially due to the fact in particular that neighboring countries have fewer and fewer available forest resources and buy forest resources from the DRC while protecting their own;
- China and other emerging countries will get exclusive logging rights to large areas of forest;
- Ever growing demand for mining and petroleum products will mean that every nook and cranny of the country will be explored and permits will be issued;
- The mining and oil sectors will be prioritized and mitigation measures put in place, but the latter will have no effect, as their effectiveness will not be monitored. Mining activities will lead to ever faster degradation of the forest cover but mining companies will not be compelled to remedy the situation;
- Agricultural concessions will be negotiated with multinational companies, dispossessing the local population of their land and pushing them more and more into the forest;
- Oil exploration activities in the basin will make ever-larger inroads into the dense rainforest of this area and logging will start there with amphibious vehicles;
- Rainfall in the Congo basin will start decreasing drastically due to the loss of forest cover. Large portions of the basin will no longer be flooded and forests will dry up and degrade. Some of these areas will become accessible to logging and to agriculture, which will accelerate the deforestation process all the more;
- The process of forest degradation will accelerate and evapotranspiration will decrease, causing rainfall to decrease more and more rapidly and a spiral of continuous and definitive degradation of the forest cover will be set in motion;
- Changes in climate, which started some years ago already, will increase the degradation rate of the forest cover, and the latter will quickly dwindle.

- The Inga dams will no longer receive enough water and the production of electricity will fall drastically

Although this scenario may seem apocalyptic, it is nonetheless realistic. Despite the sums invested for the past 10 years in forest management, despite the moratorium on forest titles and despite the low level of industrial logging in the DRC, the loss rate of forest cover is increasing. An increasing number of mines are being set up and one exploration program follows another. Mining permits cover over half the national territory and oil concessions overlap with legally established protected areas. It therefore appears that the country's economic development is accelerating (and that of neighboring countries as well), but this comes at the price of a degradation of forest cover and probably an erosion of biodiversity. There is development, but it does not seem sustainable! The trends identified in this "*business as usual*" scenario are far from being unrealistic.

## 13.2. THE RESTRUCTURING OF THE NATIONAL LOGGING INDUSTRY

Logging as it is currently carried out, whether on a small or large scale, does not provide a lot of revenue to the country and, above all, is unmanageable. As with minerals, most of the wood exits the country fraudulently without any tax being paid, whether this is lumber, wood energy or simple poles. The regional demand for wood is significant and growing, and control is almost non-existent.

A summary assessment was made on the basis of the percentage of deforestation (see the previous section, *status quo*). At the current pace, the forest in the DRC will no longer be there in 80 years, and this without including the synergistic impacts that could come from other productive sectors such as oil, mining, agricultural concessions, etc. The need for a reflection on aspects of logging, the export of timber and reforestation is therefore required.

### 13.2.1. THE ISSUE OBSERVED

On the basis of:

- the overview of the situation that has been defined and in particular the problems associated with large-scale and small-scale logging; the various pressures related to the development of different sectors of the economy;

And **given the following** findings:

- **Logging generates low tax revenues, approximately** USD 10 million per year (cf. data from the Ministry of finance, 1<sup>st</sup> quarter of 2012);
- The negative impacts of these logging operations are currently uncontrolled;
- Costs related to forest control and monitoring are not known at the moment but could well be much higher than forest revenues. The FNCP (Forest and Nature Conservation Project) alone spends more than USD 10 million/year to carry out work and studies aimed at applying the Forest code;
- It is estimated that for each cubic meter of wood exported legally, 5 to 10 m<sup>3</sup> are exported illegally;
- The State has very little control over small-scale logging, which continues to flourish because of the low level of restrictions for the operators, due to weaknesses in enforcing legislation;
- The country's borders are extremely porous and make it impossible to carry out basic forest control;
- As far as we know, there is still no effective way of monitoring the country's forest production;
- Most of the country's forest production is not integrated to the GDP and is only taxed a small amount. A study carried out in Chad assessed the value of the wood energy industry at between 3 and 4% of national GDP (including oil). In the DRC, this could be even more;
- Neighboring countries, especially those to the east, are using the DRC's forest resources without paying any tax.

A brief analysis on the basis of the estimated deforestation rate (excluding degradation) and the rate of demographic growth forecasts the disappearance of the DRC forest within the next 80 years.<sup>43</sup>

The forest cover of the Congo basin is known to provide at least 70% of the basin's rainfall through evapotranspiration. If the forest disappeared, the DRC would be hit by a perpetual drought. Hydroelectric dams would no longer be usable; energy would become rare and could no longer be exported. As a result, this situation would greatly reduce the possibilities for processing the national mining production. In short, the scenario described above would be a disaster on a social, environmental and economic level.

Because of these findings, an alternative to the REDD+ national strategy has been conceptualized in order to reach a similar goal but without going through the REDD+ process and its associated obligations.

The alternative put forward has three key areas of intervention:

1. Stopping large-scale logging and the export of all forest products;
2. Controlling small-scale logging for the needs of the internal market;
3. A large-scale national program for reforestation.

The program of this alternative could be set up rapidly, without the many reforms required by the REDD process.

### 13.2.2. THE OBJECTIVE

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The main objective of this program is to reduce, in a permanent way, the pressure on the natural forest to enable the DRC to preserve its hydroelectric potential, as well as the biodiversity of its forest, without creating negative economic impacts in the short, medium or long term. The slow-down in deforestation that would ensue could make it possible to recover the sums invested in the program in the long run.

A number of intermediate objectives are also covered:

- Create many formal jobs;
- Limit the negative impacts of current industrial and small-scale production on deforestation and the illegal exploitation of biodiversity;
- Include all outputs of the country's wood industry to the GDP;
- Reduce resource loss and fraud in the forest sector;
- Develop an extensive network of privately managed cooperatives.

### 13.2.3. THE ELEMENTS TO BE IMPLEMENTED

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Two elements are essential to the implementation of this central program, which are:

- to amend the current Forest code in order to prohibit export, to completely change the rules of industrial and small-scale logging; and to allow the implementation of an appropriate control and monitoring system;
- The implementation of a comprehensive reforestation program, whether linked or not to the development of agroforestry, which will ultimately reduce by 50 to 75% the country's deforestation rate, meet the domestic demand for timber products and ultimately produce plantation wood for export.

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<sup>43</sup> Calculation by the consultant made on the basis of a loss of forest cover of 0.23% per year and a population increase of 0.3% per year with the assumption that deforestation will increase in line with population growth.



### *13.2.3.1. Law amending the Forest code*

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The Forest code currently in force was introduced in 2002 and has been the subject of much criticism. The implementing legislation, some of which still does not exist, has mostly been written since 2007. Despite all the efforts made, its implementation remains problematic and very costly for a department that generates very little income. Its full implementation, the control of logging operations and forest monitoring appear to make no sense, both in financial terms and in environmental and social terms. A drastic revision of the code could make it possible to quickly produce more benefits and especially limit economic, environmental and social costs.

### *13.2.3.2. For industrial logging aimed at export*

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Immediate stop to industrial logging and export.

Export ban from eight months after the law has been promulgated.

Any transport seeking to cross a border after this date will be punished by:

- Seizure of the wood and trucks at customs level and on the road;
- Resale of vehicles at auction by the provincial services of the State on the basis of a floor price set by the Ministry of Finance (the provincial services will define the price depending on the year and brand of the vehicle);
- Resale of the wood at auction for processing and sale at the national level, with a floor price per cubic meter.

A change to existing logging concessions will be necessary. Concessions should be smaller and should include reforestation sites. Their operating life will be 20 years, renewable for 10 years; companies must produce enough lumber from reforestation at the end of the 20 years. An extra 10 years may be granted if certain criteria are met and if it is proved that reforestation still cannot meet the demand.

Regarding compensation for companies that do not want to accept these changes: those who seek compensation will be subject to financial and operational audits by inspectors from the Finance department and the Forestry department, and only those companies that have complied 100% with the law and that are able to demonstrate where their funding is coming from will be compensated according to a fair sliding scale.

Control at borders and on the roads

After the eight-month period, no truckload of wood, regardless of its destination, use, origin or owner shall cross the country's borders, be they sea, lake or land borders.

To make this work, it will be necessary to:

- Pay customs officers, military personnel and police officers for each seizure, large amounts for each type of seizure. For example: \$10,000 for logging trucks, \$3,000 for coal and pole trucks. Payment should be made as soon as the notice of the offense is issued and the truck is placed in an area guarded by the military and surveillance cameras, etc.
- Ensuring the auction happens as soon as possible, within 3–4 days after the seizure.
- Pay 50% of the sales value of seizures to the officers who carried them out, if this exceeds the premium already given.

In this way, no one will dare cross the borders with wood or coal, or circulate in the country with logs without permission, and this in less than 24 months following discontinuation of industrial logging operations.

The sale of seizures should pay these costs.

A permanent monthly rotation of officers at border crossings on the basis of a draw should make it possible to remove any ambiguity on the selection process of the officers at the borders.

Complete cessation of industrial logging, in particular export, will make control on roads and at borders much easier. Any load of lumber intended primarily for use in the domestic market, as well as the registration of any operator, carrier, processor and seller, would therefore be possible and controllable.

### 13.2.3.3. *For the domestic market*

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Only coals and round wood with a diameter less than 15 cm will be authorized for transport at the national level, without a prior license and for a period of three years only.

Those wishing to process lumber and use it on the national market must have permits. A traceability system will be implemented at the national level. Transport manifests must be present in all trucks and wood must come from accredited cutting sites. Only accredited production centers will be able to harvest the forest, provided that they obey specific rules, which could look as follows:

- Produce a cutting program over 10 years and an annual cutting plan;
- Compulsory reforestation with a factor of 500 (500 trees planted for every natural forest tree cut down);
- Reforestation with exploitable lumber species over 20 years for 50% and species for producing wood energy and services for the remaining 50%;
- More than 75% recovery rate;
- Obligation to protect forest concessions from predation (hunting, agriculture, illegal cutting, fire, etc.);
- Obligation to transfer 50% of reforested areas for wood energy and wood service to local associations (cooperatives);
- Obligation to monitor and declare all productions and ensure the traceability of wood products;
- The sale price of timber per m<sup>3</sup> per type of species produced will be fixed for the first 10 years;
- Follow sustainable operating standards for both natural forests and reforestation.

Minimum performance contracts will be devised and failure to comply with these obligations will be sanctioned, with the risk of losing the concession that will be seized and sold at auction.

In exchange, companies or associations that take part in the program will receive subsidies for setting up mobile or fixed sawmills, for purchasing trucks, for acquiring land for reforestation, for supporting reforestation for the first five years, for the acquisition of insurance, etc.

No tax will be levied on productions for the first five years, only a registration process will be payable once per year on presentation of operating budgets. However, provincial and local taxes on the sale of wood will continue to be deducted and will be followed by the program. After five years, VAT (at a preferential rate) and income tax will be payable at a rate to be determined.

***The production and trade of forest wood (lumber) will therefore be subject to a quota system and strictly controlled.***

No export of timber will be tolerated in any form whatsoever for the next 20 years (except for wooden art objects). After this period of 20 years and after analysis of the situation, the wood from reforestation can be exported.

Within 20–30 years, lumber (greater than 15 cm in diameter) will no longer be collected from natural forests, all will come from reforestation.

### *Program for the production of wood energy and service (poles and other)*

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The government will set up a series of support services for the creation of reforestation cooperatives on the outskirts of all major cities in the country and will support obtaining land titles for production areas of 1,000 hectares or more.

According to our calculations, what is needed to cover current national demand is 3,000,000 ha, knowing that probably already half of that is taken in forest regrowth areas close to large cities and savannas by rural populations for their own use. There still remains approximately 1,500,000 ha of reforestation to set up around large cities and increase production by 5% per year, as long as wood remains the main source of energy for households in the country.

A goal of 300,000 viable ha/year for 2013–2018 is probably easy to achieve. Gradually, fuel wood sold in major cities will increasingly come from perpetual reforestation areas. This market will generate employment, will introduce the concept of professional cooperative and will very quickly limit forest degradation. In 2025 or earlier, we should be able to meet more than 50% of national demand for fuel wood and poles in large cities through reforestation.

The program will fund both private operators and organizations, whether for reforestation or for agroforestry.

#### **13.2.4. FUNDING**

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The program should be funded by PES-type (Payments for Environmental Services) funds that would come from development aid as far as the program for producing fuel wood and service wood is concerned. Another part of the funds could come from a carbon tax on fuel consumption (plane and car), such as a tax of 2–3 cents per liter and a green tax on electricity consumption. If the Congo basin forest is degraded, current hydroelectric production and future projects will be affected, as the forest provides more than 70% of the rainfall over the Congo basin. These two levied taxes would directly supply the national "FOREST" fund to finance this program. The PIF, which will be implemented in 2013, already covers this type of investment; it is therefore likely that the country's technical and financial partners will agree to fund the program or, for example, to pay into the REDD fund by doubling all the amounts that will actually be paid into the fund through tax recovery.

Such a law and a program of this magnitude would thus be funded in part by the wealthiest fraction of the country's population. Part of the program would develop as the PES national process, which could in the long term be self-funding by the possible sale of carbon credits on the reduction of deforestation at the national level measured every 10 years, through satellite imagery and field monitoring at a reasonable cost.

Such an approach would likely get a lot of coverage at the international level, and this without really compromising the people working in logging who will have priority for working in reforestation cooperatives and without directly taxing the poorest who only consume very little electricity and fuel. The program would also allow the country to reconnect with a forest governance. Finally, a portion of the funding coming directly from taxpayers would likely increase the level of accountability and this sense of belonging

#### **13.2.5. RISK ASSESSMENT OF THE ALTERNATIVE**

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This alternative is not without risks:

- Discontinuation of industrial logging that will generate losses of privileges may have significant political impacts on power relations, networks and interests related to the trade of wood legally and illegally operated/exported;
- Employees of logging companies will lose their jobs and some who cannot or will not want to retrain in forest productions and plantations may continue to exploit timber illegally;

- There will be spontaneous migration to plantation sites to gain employment and for small trading and other services;
- There are risks of mismanagement and bad governance of the funds and in the funding of reforestation and plantations;
- Several countries will see their source of construction and fuel wood cut. Reprisals from some people whose livelihood depends on these trades are to be expected;
- There will be job losses in border businesses that depend in part on the export of wood: loggers, carriers, various intermediaries;
- There are risks of increased cutting and exports in the intervening period between the end of the exploitation rights and the beginning of the export ban, and some protected forests may suffer as a result;
- Seizures will certainly create social tensions in border areas and gains from seizures may also have a negative impact on the local socio-economic fabric;
- The sizable gains relating to seizures will open the door to attempts of fraud or manipulation of the system;
- The conditions laid down for wood producers during the transition period (20–30 years after the cessation of exports) may be difficult to implement.

#### 13.2.6. TREATMENT OF PRIVATE PROJECTS

Once the system is in place, the REDD strategy would accredit a project committed to environmental and social standards defined by the country. The national authorities could then allocate an area for implementing a project, similar to a mining permit: with a tax per square kilometer and an investment plan to comply with. If the latter is not respected, the national authorities could recover the area and assign it to another promoter without the first promoter being able to claim any right on carbon or other investments that might have been produced or made.

It would be up to the promoter to define the reference levels of deforestation on their territory, the leak zone, etc. according to the standards they would like to follow (e.g., CCB, VCS, etc.), and to obtain the verified emissions reductions that they would sell to buyers of REDD credits of their choice, without the country having to take on any role in the MRV or in carbon accounting.

The sale of REDD credits would trigger the application of an export tax. However, before selling these credits, an audit should be carried out on the production site; if certain elements of the certification are not met, the tax rate would increase in line with the cost of implementing the rehabilitation measures.

This additional tax would be retained by the REDD fund for the duration of the period given to the promoter to put the situation right. If the latter fails or fails to put the situation right within the prescribed time frame, various sanctions could be planned depending on the severity and repetition of non-compliance, ranging from a formal notice to recovery of the site by the REDD fund and its resale, through to the temporary placement under supervision or the completion of necessary work by independent service providers.

In this way, the role of the State would be limited to its sovereign obligations for production investments on its territory, i.e., draw up regulations, give permissions, monitor investment compliance and take decisions in the event of non-compliance.

Thus, anyone making a REDD investment accredited by the State could choose the time that suits them best to initiate the process of selling REDD credits, provided they respect the commitments set out in their accreditation. The State would collect taxes on the proceeds of the sale as appropriate.

#### 13.2.7. TREATMENT OF PUBLIC INVESTMENTS

One of the consequences of the proposed alternative is that it removes the opportunity for the DRC and its partner countries to exchange international carbon units.

In this scenario, the investor countries concerned to promote REDD in the DRC would act as they do within the framework of their conventional cooperation programs, i.e., as donors. Thus, public funds would systematically be used for programs like the FIP, either to implement structuring actions for forest management

that will later allow carbon promoters to come and set up REDD projects. According to this model, public funding (bilateral cooperation or multilateral PTF) are used to make structural investments that do not give any entitlement to the issue of carbon credits (even if they result in reducing deforestation). The mission of international cooperation is not to participate in the carbon market but to provide assistance to development, through loans or grants.

To see clearly in the mechanics of this situation, let us compare REDD with the Clean Development Mechanism (CDM), which until now is the main operational international carbon market in Africa.

In the CDM, a sovereign investor country (e.g., Norway) does not directly invest in a GHG reduction project carried out in a developing country. It is companies that do this, thus obtaining CDM credits (Certified Emission Reduction Units or CERU), to then sell on to buyers. Keeping the Norway example, these credits could be found there in two ways:

- Norway uses its sovereign wealth funds to buy CDM credits, convert them into units that can be traded between countries and keep them banked to offset its national emissions;
- Norwegian companies subject to emission reduction obligations (e.g., national oil companies) can buy these CDM credits to offset their own emissions.

The host country of the CDM project developed by the company does not receive any CERU when a CDM project is carried out in its territory. The country benefits from the fact that a project will be set up on its territory.

In the case of REDD, the difference will be that unlike the CDM, REDD host countries can receive credits for their performance in fighting deforestation at the national level.

In this context, we can expect that investing countries fund REDD actions so that the DRC be granted REDD credits, and bind their funding with the DRC's obligation to then sell these credits to them. These would therefore be transferred to the investing country as soon as they are recognized by REDD's international authorities, and the investor country could use them to offset its national emissions (Scenario 1).

Thus we can conclude that by removing the national carbon accounting and the MRV, we will remove an incentive to bilateral investment in REDD, as investing countries will no longer be able to receive carbon credits directly in exchange for the funding.

On the other hand, we do not believe we would be removing all incentives as other mechanisms could enable the investing countries to draw a benefit from their investment. Rather than providing their REDD funding in the form of grants with transfer of REDD credits, investing countries could finance REDD in the form of loans (100% loan or in part only), which would guarantee a capital return. Assuming that the investment has made it possible to establish favorable conditions for setting up private REDD projects, this capital return would then allow the investing country to buy private REDD credits generated by the companies established in that way (Scenario 2)

So:

- Scenario 2 could therefore stimulate even more the private carbon market! Indeed, several companies could be interested in trying their luck in a market where governments declare their intent to buy REDD credits that they will produce.
- Scenario 2 would encourage bilateral cooperation for the establishment of conditions enabling the setting up of REDD;
- The benefits for the investing countries in terms of return of carbon credits would perhaps be lower in scenario 2. However, if we consider the risks of failure at the national level associated with the national carbon accounting and the MRV, this situation may be a lesser evil.

We can also imagine a mix of these two scenarios by assigning to bilateral partners who are interested in REDD investments small areas within existing protected areas whose level of degradation and/or low biodiversity do not make it possible to provide the environmental services for which it was set up. These protected areas (PAs) have the advantage of having a registered land base belonging to the State, which legally protects them from mining, logging and oil exploration permits. On the same basis as the private projects, the DRC could grant, for a given period, sections inside these PAs that currently are of less interest for the protection of biodiversity, to a bilateral Government partner who could produce carbon there, while complying with the same environmental and social clauses as any other private investor. This would allow the DRC to improve its current network of PAs, to create jobs and possibly, to collect taxes on the carbon sold while retaining the rights on the ground.

## 14. CONCLUSION

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From a purely environmental point of view, the REDD+ process does not bring more non-controllable impacts than many existing projects in the country. However, the problem lies more in managing the process of identifying these impacts, implementing appropriate mitigation and monitoring and control measures that are required, so that the process is sufficiently documented and transparent to be recognized as complying with REDD+ international principles and those of the safeguarding policies of the country's key technical and financial partners.

REDD+ needs frameworks, benchmarks and environmental and social standards that the country should set up for the application of its Framework Law on the Environment, some of which have already been adopted but a large number are still expected. The risk is to see REDD+ set its own environmental and social management system without the country having decided the general rules in this regard. This would result in increasing the confusion present in the sector.

It is important that REDD+ does not replace the national management process and that the projects that will be presented over the next few years for approval follow the route of national projects and obtain the national authorizations necessary for their activities, among which is, where appropriate, an environmental permit from the Ministry in charge of the environment, before obtaining a REDD+ label. This is regardless of the type of REDD+ investment.

However, so that investments in the REDD+ process can be accredited, stricter rules may apply.

It is therefore necessary and urgent that Law no. 11/009 is implemented and that a standardized national environmental assessment process is applied for all investments. This implementation is equally important for other sectors (mining, energy, forestry, tourism, roads, etc.) than it will be for the REDD+ process.

Regarding REDD+ projects (for the sale of carbon credits), it is very likely that the promoter will have to comply with the purchaser's standards, so to the standards that will allow them to sell their REDD+ credits on the market. However, the country must enforce its law in a just and fair manner and the most stringent rules will have to apply to the project. In addition, the country must define with greater precision the criteria for the REDD+ projects that it will accept or not accept on its territory. This right of scrutiny is legitimate and should be the one that allows the State to refuse an investment in the country, regardless of the funding's source.

However, the level of complexity of the REDD+ process and the many risks identified both at structural and technical level constitute significant challenges that the country must face to ensure the feasibility of the REDD+ process in the short term.

The REDD+ strategy deserves to be further refined and a major process of revision and adaptation of the sectoral policies of different departments must be carried out. Law 11/009 explicitly requires that the sectoral policies take into account the principles of sustainable development. As the country has officially committed to REDD+ principles, it has a duty to adapt these national development policies to the principles. The national Framework Strategy REDD+ can be a good basis for reflection in this regard.

The technical and financial partners, as well as the Government, would benefit in the first instance from supporting the rapid and efficient implementation of the Framework Law on the Environment, the country's environmental policy, adjusting the sectoral policies on the basis of the directions being taken in terms of protection of the environment and of the forest cover, as well as from drawing up the action plans needed for their implementation. This would enable everyone to work in the same direction and to limit conflict and treatments to

individual cases. Parallel to this development, the REDD+ strategy would harmonize the sectoral action plans for the protection/development of the forest cover and thus ensure horizontal integration of a large part of its strategy.

The disappearance of the primary forest seems to accelerate between 2005 and 2010, compared to the period 2000–2005. If this trend is confirmed and if it is partly linked to the country's economic development, the DRC will have to make strategic choices for the actual implementation of REDD+ (date, reference value, etc.) but also be sure to be able to complete the process, which is very complex.



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### **Congolese documents, policies and legislation**

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- Ministerial order no. 035/cab/min/ecn-ef/2006 of October 5, 2006 relating to logging
- Ministerial order no. 025/cab/min/ecn-t/15/jeb/2008 of August 7, 2008 regulating the deforestation permit
- Order 0011/CAB/MIN/ECN-EF/2007 authorizing the industrial cutting of lumber
- Code for land tenure, real estate and securities, coordinated legal and regulatory texts. 33rd year, Special Issue, Official Journal 1992
- Constitution of the Democratic Republic of the Congo, National Assembly, February 2006
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- Law no. 11-2002 of August 29, 2002 creating the Forest Code in the Democratic Republic of the Congo
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## 16. ANNEX I - THE RESULTS OF THE CONSULTATIONS TO DEVELOP VERSION 0 OF THE REDD+ NATIONAL FRAMEWORK STRATEGY

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### 1. Introduction

The Democratic Republic of the Congo (DRC) confirms its commitment to the implementation of REDD+ mechanisms at national level. To achieve this, a phase of preparation for REDD+ is being finalized in order to get the country moving on the road to combating deforestation. Many projects are underway to finalize this preparation, including the adoption, following a participatory process, of a REDD+ national strategy. The Agreco-Land Resources grouping was chosen to facilitate a series of participatory workshops leading to the drafting of a Version 0 strategy. This report will firstly present the main challenges that this strategy is tackling and the objectives it seeks to achieve, and will then review the consultation process that was carried out, and finally will present the V.0 strategy such as drafted.

### 2. Justification of the REDD+ Strategy horizon 2030

#### 2.1. Challenges

The challenges facing a REDD+ strategy in the DRC are many and already widely documented. The country is part of the ten countries in the world that lose the most forest cover every year, with a gross deforestation of more than 350,000 ha per year over the period 2000–2010. Family agriculture using slash-and-burn and small-scale logging of the timber resource for fuel wood and lumber are the main drivers of deforestation and forest degradation throughout the country. They reflect the very strong dependence of rural and urban populations on forest resources in a context of collapse of the physical and socio-economic infrastructure.

Slash-and-burn farming consumes ever-increasing areas of land due to the rapid exhaustion of cleared land and an increasing population. At the same time, wood and charcoal being the main sources of energy in the country, logging for fuel wood contributes greatly to forest degradation and ultimately to deforestation.

From a governance perspective, the arrival of REDD funding poses a risk of corruption, inequality in the distribution of opportunities and a risk of political interference in the selection of projects; the problem of the provincial administration's very low capacity to monitor the projects, or difficult access to funding for weak structures.

Several concerns were also raised in relation to the need for securing land tenure and harmonization between public and customary powers.

Beyond these major issues, the REDD+ national strategy must also ensure it is taking account of the following additional constraints:

- Respect for national laws and international commitments;
- Maintaining biodiversity;
- Respect for indigenous peoples, their territory and their traditions;
- Improvement (or at least the non-reduction (minimum objective)) of income and quality of life of local and indigenous populations in the areas affected by the REDD+ process;
- Keeping transaction costs at an acceptable level.

#### 2.2. Opportunities

Several opportunities are related to upcoming REDD+ activities, including local development and improving the living conditions of rural populations, as well as creating local jobs, injecting capital in targeted areas, as well as revitalizing banks and other financial structures.

This strategy seeks to seize these opportunities, thus generating wealth by reducing deforestation and forest degradation.

#### 2.3. General objectives

The strategy seeks to cover all these issues in an integrated way with an operational logic:

- Define coherent actions, intervening according to a sequential logic to achieve one or more objectives. The strategy will then be translated, at the operational level, into **action plans** by areas and by periods, possibly including alternative plans that can be used if the situation is significantly changed by events.

- The strategic approach can be broadly defined as "the art and manner" of specifying the (**least worst**) road to follow, in the medium or long term, taking into account the **external** environment (risks and opportunities) and the capabilities and possibilities available **internally**. A **good strategy** is permanently profitable and motivating.

### 3. Methodology

The V.0 strategy was designed following a participatory process that was held in Kinshasa between April 9 and 27, 2012. The consultants organized and held a series of sequential workshops structured around the attendees thinking of ideas to create drafts of the strategy. The consultants then grouped the ideas thus submitted into four (4) sectoral but interdependent strategies presented in this report. The steps are detailed below.

#### 3.1. Composition of working groups

The working groups were formed using the lists of members of the Thematic Coordination (TC). Two members per TC were selected to be part of the working groups for the workshop for designing the Version 0 strategy. These members were then divided into seven (7) working groups:

- Energy
- Agriculture
- Land tenure and land use planning
- Technical/social innovation and research action
- Relations with local and indigenous populations
- Management of the REDD+ process
- Local and National Governance

The list of members of each working group is attached in Annex 1.

#### 3.2. Facilitation of the thematic working groups by the consultant's experts

The entire workshop was conducted using a tutorial method. The consultant's experts were present at every stage and full-time with the consultation participants to provide food for thought, answer technical questions if necessary, guide the discussion and arbitrate the debate. The experts could give their opinion on a matter under discussion but this opinion was not binding on the members of the discussion group.

Four (4) steps were planned and carried out to guide the thoughts of the members of the working groups and get them to build a strategy. Figure 1 shows the schedule for the workshops.

**Figure 1: schedule for the workshops devising the V.0 strategy**

Update latest calendar

	P1		phase 2					Phase 3					Phase 4								
	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29
	L	M	M	J	V	S	D	L	M	M	J	V	S	D	L	M	M	J	V	S	D
Étape 1	tous																				
Étape 2		1,2,3,4	1,2,3,4	5,6,7	5,6,7																
Étape 3									1,2,3,4	5,6,7	tous	tous									
Étape 4															1,2,3,4	5,6,7	1,2,3,4	5,6,7			

#### Planning prévisionnel d'intervention des 7 groupes thématiques avril 2012

The nature and the elements discussed by each phase are detailed below:

##### Step 1: All working groups (1 day)

- Presentation of the methodology and work plan;
- Overview of the REDD+ mechanisms (climate change, role of forests in climate change, REDD+ mechanisms);

- Presentation of the environmental and social issues to be considered;
- Presentation of the national law on environmental protection and of the major donors' safeguarding policies;
- Delivery of a CD with detailed reference material for carrying out the work;
- Identification of actions that, in principle, would reduce deforestation and forest degradation. This identification is done in the form of brainstorming.

The results of this brainstorming have been recorded in writing as the meeting progressed, and then ordered according to the working groups that had been set up. A classification table was thus devised and supplemented to provide to the working groups specific ideas on which to work. The results of the brainstorm and table supplemented with ideas to work on are attached in Annex 2.

The entire elaboration process of the V.0 Strategy is based on a great respect for the ideas expressed by the participants consulted. The consultants considered that the national participants were best able to identify and analyze the actions likely to be included into a REDD+ national strategy, so the vast majority of the ideas that have been analyzed come directly from the brainstorm. However, the ideas covered by the brainstorm did not cover all the reflection areas covered by the working groups. Therefore, the consultants have added some ideas to complement and provide food for thought for working groups 5, 6 and 7 in particular. Obviously, if additional ideas were identified by participants during the discussions, they were free to add them to their list of actions to analyze.

### **Step 2: Selection, classification and description of the actions, feedback (7 days)**

As indicated in Figure 1, the workload of the members of the working groups was distributed according to their group. This step was performed in individual groups.

Groups 1, 2, 3 and 4 began analyzing the elements drawn from the brainstorm in three steps:

- Selection through a rating on the basis of a criteria grid;
- Classification on the basis of the points obtained;
- Description of the actions having obtained the most points and identification of prerequisites, risks and areas for intervention.

First of all, a multi-criteria analysis grid was used to assign a mark to each idea analyzed. Based on this mark, the group decided whether or not to abandon the idea. The ideas or strategy elements that were retained were then broadly described using another grid, in which participants were asked to think of the prerequisites, risks, implementation areas and selection criteria for each of the strategy elements. The tools provided to participants in these groups can be found in Annexes 3 and 4.

Groups 5, 6 and 7 had to analyze ideas that were less technical and more institutional in nature; hence, the tools and criteria for reflection that were provided to them were different. The analytical grid contained the following elements:

- Deciding on the relevance of the question being asked;
- Identifying the main objective sought to be achieved;
- Draw up a summary action plan to achieve this objective, detailing the actions to be implemented, who is responsible for implementing, the expected results and the monitoring responsibilities.

The risk analysis template is attached in Annex 5.

Finally, once this work has been completed by all groups, the latter presented and explained their findings in plenary, so that all participants were aware of the decisions taken by the other groups and could comment on them. At the end of these discussions, the changes approved in plenary are incorporated into existing records and everything was compiled into a working document to be distributed at the next phase. This document can be found in Annex 6 (attached to this report on a separate electronic medium).



### **Step 3: Identification of the strategy elements (4 days)**

Following each team's presentation, and based on the working document mentioned in the preceding paragraph and attached to this report in Annex 6, the reflection groups met again privately to define the strategy elements for the areas and sectors of intervention that were allocated to them. Again, their thoughts were directed using an analysis grid and appropriate explanatory notes. This document can be found in Annex 7.

First, the preliminary typology of the considered field interventions was set out. It is worth noting that there was a change between the consultations and when this report was drafted. In our opinion, this had no influence on the applicability of the proposed strategies, as the description of the typology was first intended to expound in a more concrete way the nature of field interventions and allow the participants to be able to visualize in a better way the possible intervention tools. The core of the strategy is therefore always applicable.

Domains and sectors of intervention were then described. The work of preparing the strategy has been distributed between the groups depending on these areas, and their compatibility with the issues they studied in step 2.

The strategy elaboration sheet itself then guided participants in devising the strategies they thought relevant.

Once the strategies had been completed, each group presented their results to all participants. The compilation of these raw results can be found in Annex 8.

Participants also assessed the consultative process that they participated in using an assessment form. The process and its facilitation by the consultants have been assessed very positively, as demonstrated by the assessment report attached to this report in Annex 9.

### **Step 4: Compilation of the results by the consultant's experts.**

As a last step, the strategy ideas described by the participants in the workshops have been compiled into a coherent set of sectoral strategies.

In designing these sectoral strategies, great care was given to include all the ideas retained by the participants in the consultation workshops. These strategies have also been developed in accordance with the new typology of interventions developed by NC-REDD (see Annex 10).

Together, these sectoral strategies form the DRC's National REDD+ strategy, Version 0.



#### 4. Element of National REDD+ strategy, Version 0

##### Strategy no. 1: Governance of the REDD+ process, forest governance and communications

###### Proposed program/project

The Government contribution to forest governance and to the REDD process has emerged as a major concern during the strategy's participatory development. Indeed, a tight control is needed to ensure REDD objectives are achieved, not only with regard to fighting climate change, but especially development.

To achieve this, involvement of various levels of decision, including the local level, must be ensured. To achieve this ownership, a number of management principles have been identified in two key areas of intervention: governance, application of forest standards and communications.

Principles of governance of the REDD process:

- Encourage the involvement of local communities in REDD projects by establishing mechanisms for the participation of local populations. These mechanisms should be mandatory for any project, initiative or REDD-aligned initiative and constitute the minimum standards to be implemented by the promoters of REDD projects, initiatives or aligned initiatives;
- Encourage the involvement of local authorities and local bodies in the planning of REDD programs and projects;
- Ensure the sustainability of sums of money earmarked for REDD by requiring the REDD Fund to be managed in such a way that there is a constant capital;
- Ensure the sustainability of the REDD projects, at the minimum by subjecting them to mechanisms for safeguarding the interests of local communities in cases of project transfer (sale, disposal) or if the promoter pulls out.
- Ensure full transparency of the investments made under the REDD program (REDD fund, projects, initiatives, aligned initiatives) by ensuring the publication of relevant documents.
- Control of the REDD process
  - Adopt rules for controlling and managing REDD projects, initiatives and aligned initiatives (accounting documents, monitoring reports, administrative documents such as contracts, etc.; the records of equipment, the spaces assigned to the REDD projects, etc.)
  - Implement a program of internal and external audits of the REDD projects, initiatives and aligned initiatives
  - Perpetuate the TCs to give them a role in implementing REDD.

Principles for applying national laws with regard to forest protection:

- Support the revision of certain national laws where necessary, to ensure consistency with the proposed REDD activities;
- Establishment of an effective system for implementing standards for producing and exploiting wood: forest rangers recruited among the PLAs and unmanned aircraft;

Communication principles:

- Ensure the appropriation of REDD by the PLAs by writing and disseminating key messages aimed at the PLAs via the media and local networks of communicators involving local leaders. Content:
  - Contribution of PLAs to the REDD process and protection of forests;
  - Relevant environmental and forest standards, the broad lines of which are translated into local languages;

###### Objectives

- Involve all stakeholders in the planning and execution of REDD projects;
- Sustain the achievements of the REDD+ process by the local and indigenous population;
- Ensure the continuity of REDD funding;
- Ensure transparency and traceability in the different phases of the execution of the REDD projects, initiatives and aligned initiatives;
- Ensure the transparency and traceability, as well as the financial, technical and administrative autonomy of the REDD fund;
- Ensure the monitoring of REDD activities by the competent national authorities;
- Sustainably manage the various resources in relation to the REDD projects
- Define the Legal status of the TCs;
- Strengthen the implementation of forest standards;
- Ensure the appropriation of REDD by the PLA via the communication of its objectives and benefits.

<p>Expected results</p> <ul style="list-style-type: none"> <li>• Active participation of stakeholders in planning and executing REDD projects;</li> <li>• Ownership of the REDD process by the local and indigenous population, sustainability of its effects;</li> <li>• REDD funding sustained and transparent;</li> <li>• Transparency of the projects' execution phases and of the initiatives and aligned initiatives, follow-up by the national authorities;</li> <li>• Greater compliance with the logging standards;</li> <li>• Communication campaign launched</li> </ul>
<p>Actions envisaged</p> <ul style="list-style-type: none"> <li>- Governance: <ul style="list-style-type: none"> <li>• Devising the mechanisms for participation of the PLAs in the REDD projects, initiatives and aligned initiatives by considering the following: <ul style="list-style-type: none"> <li>○ Create a framework for consultation between the promoter of the project/initiative and representatives of the PLAs</li> <li>○ Set up of a joint committee of control for each REDD project or initiative, responsible for, among other things, finance, logistics, standards, etc. including all stakeholders as well as the PLAs;</li> </ul> </li> <li>• Identify the provincial, regional and municipal authorities and bodies having jurisdiction over the REDD projects, initiatives and aligned initiatives and their possible scope; <ul style="list-style-type: none"> <li>○ Systematize their participation in the business planning phase and in the joint committee of control or any other relevant body, including on issues of land use planning, licensing and permits, etc.;</li> </ul> </li> <li>• Include capital protection in the principles of constitution and in the operating rules of the REDD national fund (expenditure of interest only);</li> <li>• In the contracts signed with the project promoters, add restrictions on the sale or transfer of their stake in the project in order to protect PLAs' gains;</li> <li>• Identify and implement mechanisms to protect the interests of the populations in the event that a promoter voluntarily or involuntarily pulls out of a REDD project (e.g., temporary administration of the project by local or national authorities, accelerated call for proposals to recruit a new promoter, etc.)</li> <li>• Set up a website of information on REDD investments on which will be published the following documents: <ul style="list-style-type: none"> <li>○ REDD fund annual report ensuring the traceability of all public investment relating to REDD;</li> <li>○ Final design documents for the projects, initiatives and aligned initiatives;</li> <li>○ Documents showing progress of the projects, initiatives and aligned initiatives;</li> <li>○ Environmental and social impact studies, environmental monitoring reports of the projects, initiatives and aligned initiatives (where applicable);</li> <li>○ PDD of the projects;</li> <li>○ Other relevant documents;</li> </ul> </li> <li>• Develop and implement the procedures for monitoring REDD projects, initiatives and aligned initiatives in relation to the national authorities: <ul style="list-style-type: none"> <li>○ Obligations of account rendering for the promoters and clients of initiatives and aligned initiatives;</li> <li>○ Establishment of monitoring teams, definition of their tasks and powers;</li> </ul> </li> </ul> </li> <li>- Application of national laws with regard to forest protection: <ul style="list-style-type: none"> <li>• Support the revision of certain national laws where necessary to ensure consistency with the proposed REDD activities; <ul style="list-style-type: none"> <li>○ Assess the national legislative corpus, identify gaps to be filled and adaptations to be made;</li> <li>○ Support the process of legislative modernization;</li> </ul> </li> <li>• Establishment of an effective system for implementing standards for producing and exploiting wood; forest rangers recruited among the PLAs and unmanned aircraft: <ul style="list-style-type: none"> <li>○ Recruit and train, among the PLAs of the relevant areas, teams of forest rangers whose responsibility would be to control the illegal exploitation of timber in the areas from which <u>their community</u> derive income or other benefits associated with a REDD project, initiative or aligned initiative;</li> <li>○ Support the rangers by using low-cost surveillance systems of forest activities, such as the use of small, unmanned aircraft (drones) equipped with cameras.</li> </ul> </li> </ul> </li> <li>- Communications: <ul style="list-style-type: none"> <li>• Revitalize the CNIE (National Center for Environmental Information)</li> <li>• Create and strengthen the capabilities of the networks of Communicators in the REDD process (train the trainers for the outreach and awareness-raising campaign)</li> <li>• Identify the appropriate communication channels, whether traditional or modern, e.g., use SMS in various national languages, media (e.g., RTNC, RTG@, Radio Okapi, Digital Congo, Community Radios, Proximity</li> </ul> </li> </ul>

<p>Radios, RTVS1, provincial television channels, print media, INA, web and social media); proximity communications (e.g., theater groups, comic strips, cartoons, printing of leaflets in local languages)</p> <ul style="list-style-type: none"> <li>• Develop and disseminate key messages via the media and local networks of communicators. Content: <ul style="list-style-type: none"> <li>○ Relevant environmental and forest standards, the broad lines of which are translated into local languages;</li> <li>○ Involve local opinion leaders in the communication campaigns;</li> <li>○ Focus on the PLAs' contribution to the REDD process and forest protection;</li> <li>○ Simplify as much as possible the messages conveyed (target an audience of 11-year-old children).</li> </ul> </li> </ul>
<p>Outcome indicators</p> <ul style="list-style-type: none"> <li>- Indicator no. 1: Mechanisms of participation of the PLA in preparing and operating the projects, initiatives and aligned initiatives, both adopted and functional;</li> <li>- Indicator no. 2: Mechanisms of participation of the relevant governmental bodies in preparing and operating the projects, initiatives and aligned initiatives, both adopted and functional;</li> <li>- Indicator no. 3: Adopted constitution documents of the national REDD Fund and including mechanisms for conserving capital and mechanisms of transparency, traceability and accountability;</li> <li>- Indicator no. 4: Mechanisms of restriction on the sale and transfer of ownership of a REDD project included in the contract with the project promoter;</li> <li>- Indicator no. 5: Procedures for protecting the interests of the PLAs in the event that the promoter of an adopted project pulls out;</li> <li>- Indicator no. 6: Website for publishing information and documents relating to the REDD projects, initiatives and aligned initiatives online, as well as other relevant documents;</li> <li>- Indicator no. 7: Environmental and social monitoring team in place, capacities strengthened to a sufficient level, follow-up procedures adopted and implemented;</li> <li>- Indicator no. 8: Legislative framework adapted to the REDD process;</li> <li>- Indicator no. 9: Forest rangers gradually trained among the PLAs of the areas where the REDD projects and initiatives are located;</li> <li>- Indicator no. 10: Monitoring by the forest rangers supported by the use of means of detecting illegal activity (e.g., surveillance drones).</li> <li>- Indicator no. 11: Reduction in the illegal exploitation of forest resources in areas where the control of the illegal exploitation of forest resources is carried out;</li> <li>- Indicator no. 12: Comprehensive strategy for REDD communication and for logging standards adopted and implemented;</li> </ul>
<p>Risk factors</p> <p>Governance of the REDD process:</p> <ul style="list-style-type: none"> <li>• Corruption and misappropriation of processes and funds for other purposes;</li> <li>• Lack of ownership of the REDD process both at institutional and local levels, and results lacking sustainability;</li> <li>• As environmental and social monitoring is not commonly carried out in the DRC, there is a risk that this fails to meet standards;</li> </ul> <p>Forest governance and standards:</p> <ul style="list-style-type: none"> <li>• Corruption of forest rangers and continuation of destructive activities;</li> </ul> <p>Communications:</p> <ul style="list-style-type: none"> <li>• Messages that are ill-adapted to the target audience and whose scope is limited;</li> <li>• Since REDD is a new process, there is a risk of non-appropriation if the messages communicated are too complex.</li> </ul>

## Strategy no. 2: Land management and land use planning

Proposed program/project:

In the DRC, the land situation is currently as follows:

- Almost all of the land is owned by the State; individuals have areas but do not own their land;
- Existence of three sets of law in land management: Forest law/land ownership law/community law;
- Lack of precise content and boundaries of the areas occupied by local communities.

Hence, there is a duality between modern law and customary law; the majority of the population in rural and forest areas occupy land illegally. This observed land insecurity (precarious occupation) results in land being under-used, a virtual absence of investment and increased pressure on natural resources (mainly the forest).

Furthermore, the significant increase in the population is an aggravating factor in this pressure on land.

There is therefore a need to implement procedures able to legitimize the occupation rights of local communities, to secure land in order to encourage the population to settle, to invest in sustainable exploitation of natural resources and thus reduce the uncontrolled extension of land occupation at the expense of natural resources.

The projects/programs identified to improve land management are as follows:

- A revision of the land legislation in order to:
  - Legitimize and implement the right of collective and individual enjoyment in land matters and the right of local communities in forest matters;
  - Harmonize the legal, institutional and consultation framework in matters of land management;
  - Reconcile modern and traditional land ownership law (better linkage between positive land ownership law, land access practices governed by customary law, and the land and forest codes)
- Establishment of a national and regional land-use policy;
- Creation of "attractive centers";
- Support to reasoned management of the natural resources and economic incentives for their sustainable exploitation (sustainability of resources).

### Objective

To legitimize the occupation of land while avoiding an uncontrolled extension by grabbing of natural land areas (mainly forest). The objectives are as follows:

- Implement a land policy that is coordinated between the various existing laws, thus avoiding the existing dualities;
- Capacity-building in land management at all levels (Administration/Local and traditional authorities, as well as the population in general that is totally ignorant of laws) in order to enforce the laws and decrees governing land ownership in the country;
- Implement local structures for land consultation and management that will allow the various legal and traditional levels to come together in this matter and facilitate the legitimation of individual and collective occupation of land at local level by the development of a simplified procedure for the recognition of occupation;
- Facilitate development that is reasoned and adapted to each region by the development of regional macro-zoning maps that would then be used at local level for producing micro-zoning maps.

<p>Expected results</p> <p>At regional level:</p> <ul style="list-style-type: none"> <li>▪ The various stakeholders in the field of land ownership are informed about the new provisions and have sufficient knowledge of the legislative texts (procedures for acquiring land, rights and obligations);</li> <li>▪ Macro-zoning maps are available at regional level and draw up the broad guidelines regarding the development and occupation of land.</li> </ul> <p>In each zone occupied by local communities:</p> <ul style="list-style-type: none"> <li>▪ Identification of the different rights (determination of the different categories of land/fruit ownership) that best reflect the actual practices of the stakeholders in relation to land management;</li> <li>▪ Setting up a structure for consultation and land management;</li> <li>▪ Micro-zoning plans (land use plan) are available and determine precisely the boundaries of the occupation area for local communities (title deed allocated to the community), community land (managed collectively), individual occupation areas are identified and procedures for sustainable management of natural resources are put in place;</li> <li>▪ Procedures for legitimizing individual occupation at local level (land certification) are set up and local land use maps delimiting the titled and certified land are available and updated by the structure of consultation and land management;</li> </ul>
<p>Actions envisaged</p> <ul style="list-style-type: none"> <li>▪ Legitimize and implement the right of collective and individual enjoyment in land matters and the right of local communities in forest matters through: <ul style="list-style-type: none"> <li>○ Preparing and signing texts (presidential order and implementing decrees);</li> <li>○ Carrying out the IEC campaign in order to inform the population about their rights, obligations and procedures drawn up to formalize land occupation;</li> <li>○ Building stakeholders' capacity (Administration, local and traditional authorities).</li> </ul> </li> <li>▪ Harmonize the legal, institutional and consultation framework in matters of land management: Organize a national forum on managing rural land: agriculture, oil, logging and mining (industrial and small-scale): Draw up an action plan and an operating manual to facilitate land management, which will aid capacity-building for the various stakeholders involved in land ownership (Administrative authorities, local and traditional authorities, population);</li> <li>▪ Draw up a national land use map and local land use maps by carrying out macro- and micro-zoning<sup>44</sup>: Using map data (GIS), draw up a master plan (at regional level) and a land use plan (at local level) following a participatory approach (carrying out zoning with the various stakeholders);</li> <li>▪ Set up incentives for the sound management of forest resources on the territory of secured local communities;</li> <li>▪ Securitization of land owned by local communities with, in return, an official commitment in terms of land management, making good use of the land and sound management of forest resources (Community forests) in accordance with the land use plan drawn up with all stakeholders;</li> <li>▪ Set up a land consultation and mediation structure able to manage land conflicts and ensure a balance of power in land allocation and management: <ul style="list-style-type: none"> <li>○ Support the activities of the Rural Agricultural Management Council (CARG) by strengthening capacity in land ownership and its gradual implementation throughout the country;</li> <li>○ Development of tools for local land management: Draw up Local Land Use Maps: Delimitation of individual occupation of land, formalization of individual occupation at local level through implementing the land certification procedure (official document, signed by the local authorities, legitimizing the occupation and committing the occupier to make good use of the land);</li> </ul> </li> <li>▪ Creation of "attractive centers": <ul style="list-style-type: none"> <li>○ Improve access and sanitation of villages, set up/improve public infrastructure (public education service, etc.), and;</li> <li>○ Create "reserve areas" for the development of alternative activities (agriculture, livestock and fishing) and for receiving a migrant population that is currently excluded from any help and support, and whose only means of survival is to occupy and exploit natural resources in an irrational way).</li> </ul> </li> </ul>

<sup>44</sup> Macro-zoning: Land use master plan, by Region

Micro-zoning: Land use plan for the areas occupied by local communities

**Outcome indicators**

- Indicator no. 1: A land management procedure taking into account the different kinds of law (modern and traditional) is drawn up;
- Indicator no. 2: the orders, laws and decrees required for implementing the land management policy are signed;
- Indicator no. 3: Number of land titles issued for the benefit of local communities;
- Indicator no. 4: Number of macro- and micro-zoning maps and local land use maps drawn up;
- Indicator no. 5: Number of consultation and land management structures in place and functional;
- Indicator no. 6: Number of "attractive centers" in place.

**Risk factor**

The main risk in land matters is generally the lack of political will: indeed, it is essential to be able to change the mentalities of the various stakeholders to stop bad practices, and only a firm political authority is able to impose new rules with regard to land management.

The lack of financial resources is also an important risk factor. Drawing up macro- and micro-zoning maps requires significant expertise in geomatics, as well as the availability of images (high-resolution satellite image or aerial photographs, which are very expensive to purchase). Moreover, the implementation of the various actions requires the mobilization of substantial resources on the ground (funding the IEC campaigns, the training for capacity building, general and consultation workshops, etc.).

### Strategy no. 3: Alternative energies

#### Proposed program/project

Thermal energy produced and consumed in the Democratic Republic of the Congo is essentially based on forest resources. At the same time, electricity is produced primarily from hydropower, the distribution of which is limited across the country by high distribution costs. A portfolio of alternative energy sources can be developed to reduce the contribution of the natural forest in satisfying the populations' energy needs.

It is therefore necessary to opt for alternative sources and modes of energy production that are non-forest based and that offer the best adaptation according to the local context. The sources to explore are:

- Large-scale planting of fast-growing species for supplying cities;
- Optimization of carbonization techniques;
- solar photovoltaics;
- solar heat for cooking purposes;
- wind energy;
- jatropha plantations and biodiesel production;
- production of biogas from organic waste;
- exploitation of methane from lake Kivu;
- Production of briquettes from recycled products;
- Energy efficiency (e.g., improved stoves).

#### Objective

The objective is to diversify energy production and supply to meet the population's needs, while reducing the share of energy that comes from the forest. The specific sub-objectives of this intervention are as follows:

- To determine the production potential for each form of energy analyzed and for the potential for energy efficiency, depending on the characteristics of various areas of the country;
- To determine the cost of production, transport and distribution (cost for the end user) for each form of energy or for each measure for energy efficiency analyzed, depending on the characteristics of various areas of the country;
- To determine the forms of energy that do not originate from natural forests or the most suitable and competitive energy efficiency measures, depending on the characteristics of various areas of the country;
- To draw up plans for energy supply and efficiency by geographical area, minimizing the contribution of forest energy;
- Create specific sectors for producing, transporting and distributing alternative energies, and channels for disseminating energy efficiency solutions, based on the supply plans drawn up;

#### Expected results

- Draw up energy supply and efficiency plans for each area of the country, according to an order of priority based on the deforestation rate in the supply basin of the area in question;
- Support for setting up pilot experiments for producing, transporting and distributing alternative energies and disseminating energy efficiency solutions;
- Disseminating the experiments and creating sectors for producing, transporting and distributing alternative energies and energy efficiency solutions;
- Reducing the amount of energy consumed that comes from natural forests;
- Creating national expertise in the field of alternative energies and energy efficiency;

#### Actions envisaged

- Dividing the country into areas of energy consumption (including the supply basin), determining the deforestation rate in the area, prioritizing the areas for intervention (2012);
- For each area of energy consumption, draw up plans for energy supply and efficiency, in particular taking into account:
  - The picture of the reference situation;
  - The technical potential for producing, transporting and distributing energies not derived from natural forests and disseminating energy efficiency solutions;
  - Estimated costs of producing, transporting and distributing each form of non-forest energy and energy efficiency solution that is technically feasible (competitiveness) (2013);
- Gradual implementation of competitive supply and energy efficiency projects.



## Outcome indicators

- Indicator no. 1: Determine the order of priority for intervention in the consumption areas for the production of alternative energies
- Indicator no. 2: Each consumption area has its plan for supply and energy efficiency
- Indicator no. 3: Several projects for energy efficiency and producing, transporting and distributing alternative energies from non-forest sources are set up in the consumption areas
- Indicator no. 4: Reducing the amount of energy consumed that comes from natural forests

## Risk factor

Alternative energies and energy efficiency are not growing in the Democratic Republic of the Congo because of the availability of cheap forest energy and the lack of knowledge about alternatives.

#### **Strategy no. 4: Structuring and organization of rural areas**

##### Proposed program/project

The presence of rural complexes and of requirements for forest resources arising from their presence are variables that are closely correlated with deforestation in the Democratic Republic of the Congo. No attempt to reduce deforestation could claim to be effective without measures dedicated to alleviating the burdens that drive rural populations to consume forest resources.

Low crop yields caused by antiquated farming techniques, the rapid decline in land productivity and a high birth rate drive rural populations to slash-and-burn farming and an almost-constant clearing of new land for farming. The population compensates for crop failures by extracting forest resources. Similarly, the near-absence of livestock and the relatively low crop diversity leads to protein deficiency, which is often made up by forest resources. Therefore the rural population is dependent on forests in the sense that the latter are the source of many elements that are essential to the population's survival: arable land, energy, protein, etc. As for the presence of roads, they are an indirect cause of deforestation because they open access to inaccessible forest areas, making it possible to use these forests to satisfy the aforementioned needs.

Finally, the land tenure in force in rural areas is another indirect cause of deforestation in the country, and this cause is dealt with in Strategy no. 1 on the land tenure system and zoning, which cannot be separated from this strategy.

There is therefore a need to structure rural and community areas in order to combat the direct deforestation factors that are associated with them. In our opinion, the best way to achieve this is to meet the needs that the population currently satisfies by using the forest with alternative sources.

Most farmers are isolated, often working without support, using rudimentary techniques and degenerate seeds producing low yields. Livestock farming is in the same situation. The State has only limited resources and the support projects have so far been ineffective, in particular because of weak governance. In addition, grassroots farmer groups, such as the existing ones, are ineffective and are in many cases opportunistic groups for the duration of a project.

Apart from the planning structures of the national agricultural strategy, we believe that setting up and funding agricultural cooperatives managed by professionals in a transparent way, where members can obtain various services and sell their production at a competitive price would be a good starting point for supporting a process of sustainable rural development.

The planning of how these cooperatives will operate will be in two key areas: improving agricultural productivity and community forestry. The interventions for improving farming productivity shall prioritize the areas of the country where slash-and-burn farming is causing the most deforestation. The interventions for supporting community forestry shall prioritize the areas of abundant forest resources that are under pressure, both because of farming and because of the supply in energy. The elements to be considered shall include:

- Securing land and zoning (see land strategy);
- Agroforestry;
- Natural inputs:
- Diversification of agricultural activities and "revenue-generating activities";
- Transformation and conservation of agricultural and food products;
- Improving basic infrastructure;
- Marketing agricultural and food products;
- Managing modes for community activities: cooperative, mutual, etc.;
- Access to microcredit;
- Dealing with gender aspects,
- etc.

The cooperatives thus created will have a program of degressive funding for a period of five years and should thus be able to develop a series of services and become an effective link between the administrative services and farmers by providing training, equipment, inputs, services and a diversified proximity professional support to farmers and groups for the abovementioned aspects.

##### Objectives

The aim here is to divert the supply of resources that currently come from the forest to those coming from outside the forest. The specific sub-objectives of this intervention are as follows:

- Identify the pressures on the forest that are specific to various areas of the country and the dynamics that drive them.

<p>Identify the areas where agricultural and rural pressures cause the greatest loss of forest area;</p> <ul style="list-style-type: none"> <li>- Determine, for each area of the country, the potential for reducing deforestation of the various measures for structuring rural areas, so as to reduce the pressure exerted by the population on the forest;</li> <li>- Determine the potential for implementing the various measures for structuring rural areas, so as to reduce the pressure exerted by the population on the forest, including considering the implementation cost, for each area of the country;</li> <li>- Determine the most suitable and competitive measures for structuring rural areas, depending on the characteristics of various areas of the country;</li> <li>- Draw up plans for structuring rural areas by geographical area, by minimizing the contribution of forest resources;</li> <li>- Implement plans for structuring rural areas based on the priority areas;</li> </ul>
<p>Expected results</p> <ul style="list-style-type: none"> <li>- Drawn up plans for structuring rural areas for each area of the country, according to an order of priority based on the deforestation rate in the area in question;</li> <li>- Support for setting up pilot experiments for structuring rural areas;</li> <li>- Dissemination and replication of successful experiments in the other compatible areas;</li> <li>- Decrease in rural populations using the forest to satisfy their basic needs;</li> <li>- Creation of national expertise in the field of sustainable agriculture, agroforestry, livestock farming and community forestry;</li> </ul>
<p>Actions envisaged</p> <ul style="list-style-type: none"> <li>- Using the zoning of the country carried out in Strategy no. 3 (alternative energies), prioritize the areas for intervention depending on the pressure exerted by the rural complexes (2012);</li> <li>- Drawn up plans for energy supply for each area, particularly taking into account: <ul style="list-style-type: none"> <li>o The picture of the reference situation;</li> <li>o The technical and sociological potential of implementing activities to divert the supply of resources away from natural forests;</li> <li>o Social barriers to overcome to disseminate this implementation, implementation costs (2013);</li> </ul> </li> <li>- Gradual implementation of the most promising projects for structuring rural areas.</li> </ul>
<p>Outcome indicators</p> <ul style="list-style-type: none"> <li>- Indicator no. 1: Determination of the order of priority for intervention in the consumption areas for structuring rural areas</li> <li>- Indicator no. 2: Each consumption area has its plan for structuring rural areas</li> <li>- Indicator no. 3: Several projects for structuring rural areas are implemented in the consumption areas</li> <li>- Indicator no. 4: Decrease in the deforestation rate attributable to slash-and-burn farming</li> </ul>
<p>Risk factor</p> <p>Traditional practices of rural populations are well rooted and the lack of knowledge about alternatives makes it difficult for them to change.</p>

**Complementary information**

List of members of the thematic working groups

	1- ENERGY	2- AGRICULTURE	3- LAND TENURE AND LAND USE PLANNING	4- Technical/social innovation and Action research	NB
TC-1		Mr. Felice ILUNGA	Mr. Felly BOOLE	Mr. Trudon NZEMBELA	
TC-2		Mr. André KONDJO Mrs. Clémence AMBA	Mr. Guy LANDU BIKEMBO		
TC-3		Mr. Peter LUKAMBA LUNDENGO		Mr. Patience FALASI BANGA	
TC-4	Mr. Crispin MAHAMBWA Mr. Benoit NZAJI	Mrs. Anny MANDUNGU		Mr. Flory BOTAMBA	
TC-5		Mr. Patrick KASANJI Mr. Georges BUABUA		Mr. Jean Pie KALAMBA	
TC-6		Mr. Antoine IYELAKONGO		Mr. Josué MUKEBA	
TC-7	Mr. Joseph LONGELELE , Mr. ASSANI ONGALA Mrs. Dorothée LISENGA		Mr. Didier MATALATALA MAKOLA	Mr. Franck KASHITA	
TC-8	Paul KATENDE, Joseph KUABI				
TC-9		Mr. Héritier MAZU	Mr. KALUNGA YUAKALI, Miss TABITHA KANYEBA		
TC-10			Mr. Félix TSHABA MUKINAY, Mr. MOKUBAFUNA KEBIRI	Mr. FUANGU MINGU Aimé	
TC-11	Mr. Alain MUZENZEKA,	Mr. YENGE BOMBA	Mr. Paulin OSIT		
TC-12					
TC-13					
TC-14		Mrs. Emilie KANI	Mrs. Anny ABIMBOLA	Mrs. Albertine EBENGO	
TC-15			Mr. Grégoire BOKUNGU	Mr. José BAMENIKIO	
TC-16					

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	<b>5- RELATIONS WITH THE PLAs</b>	<b>6- MANAGEMENT OF THE REDD PROCESS</b>	<b>7- LOCAL AND NATIONAL GOVERNANCE</b>		
TC-1	<i>Mr. Albert BUMBA KATOLO Mrs. Mirelly MPOYI</i>		<i>Mr. Jean-Jacques BAMBUTA</i>		
TC-2	<i>Mr. Grevisse ILUMBU MPAL, Mr. Philippe MANZANGA</i>	<i>Mr. Gabriel MOLA</i>	<i>Mr. Prince Hermas MAZENGO Mrs. Danely MITONGA</i>		
TC-3			<i>Mr. Gaby KITENGIE MATSHIMBA</i>		
TC-4		<i>Mr. Josué-Laurent, Mr. Léon MULIMBI NGOY</i>			
TC-5					
TC-6					
TC-7	<i>Mr. Christophe KUMBI KUMBI</i>				
TC-8					
TC-9					
TC-10					
TC-11					
TC-12	<i>Mr. Jean Odon KAMISEMBA Mr. Théophile MAKIEYA, (2) Mr. Jean René NZAPE Mr. NYONGOLO BETTO</i>	<i>Mr. Keddy BOSULU MOLA</i>	<i>Miss Néné MAINZANA</i>		
TC-13		<i>Mr. MULEPU KABANGULA</i>	<i>Mr. Claude EF ONGO, Mrs. Constance TEKITILA</i>		
TC-14	<i>Pascal KASULU</i>		<i>Marthe EPALINGINYA</i>		
TC-15			<i>Mr. OTOKOYE LOHAKA</i>		
TC-		<i>Mrs. Francine</i>	<i>Jean OKITAPANGO</i>		

16		<b>BEKOMBE, , Mr. Jean Perce Bois NSILULU Mr. Magloire HOWEY OMPAWUK</b>	<b>ONOPESE</b>		
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## **Result from the brainstorm of ideas for action to combat deforestation**

- Reforestation with fast-growing species. Purpose: C sequestration; fuel wood
- Promotion of new species, to substitute traditional species for new species, to maximize time spent by loggers in a cutting permit rather than always looking. Guy Landu, min. env.
- Fast-growing species will create the micro-climatic conditions of undergrowth for establishing future regeneration.
- Increase access to electricity for 80% of the population;
- Promotion of improved stoves; Christophe Kumbi Kumbi, ANEC
- Sedentarization of farming;
- Rehabilitation of hydro dams, micro and macro;
- Renewable energies (solar panels and other);
- Logging: limit logging by setting tougher standards;
- Signature of the decree on local communities' forests;
- Promote traditional and endogenous knowledge, with a forest management perspective. Néné Mainzana, RCEN journalist;
- Take into consideration the opinion of the PLAs;
- Promote AGR depending on the environment;
- Using non-timber resources (small-scale basketry industry, etc.);
- Microcredit for PLA, Annie Abimbola;
- Formalize small-scale exploitation of lumber; Philippe Manzanga, Min. Env., forest management
- Encourage alternative activities to farming, non-wood forest products;
- Encouraging farmers' associations;
- Modernization of basic infrastructure (housing, roads, electricity, etc.);
- Rural Agricultural Management Council: basic structures, potential source of solution to the land problem. Benoit Nzaji Min. Agri.
- Group farming;
- Raising awareness of the importance of maintaining the forest.
- Overview of the situation, awareness, ownership of the REDD process by the PLAs. Émilie Kani, civil society
- Inventory of abandoned plantations and reallocation to REDD projects to avoid pressure on the forest and on agricultural land. Antoine Iyela, Min. AGri
- Work in agroforestry but work on the field by preparing nurseries of indigenous trees for adapted agroforestry;
- Encourage micro-zoning and participatory mapping;
- Making use of the waste arising from logging;
- Creation of villages with proper draining, to attract forest populations and avoid increased pressure on forests;
- Follow-up of the mitigation and rehab plan for the mining and oil sector;
- Increase the generation, transmission and distribution of electricity in rural areas. Semi-urban and rural areas: subsidy on pricing.
- Popularization of electric stoves;
- Maintain, control, protect and develop the cultural heritage of PAs;
- Promote the schooling of PAs at all levels in the Democratic Republic of the Congo;
- Make a list of the degraded forests, enrichment using commercial species (shade cocoa, cash crops);
- Raise awareness and popularize the positive and negative impacts on the environment using the media
- Promotion of the PLA techniques for conserving and processing agricultural products
- Capacity-building re: uses and modern technical use such as GPS and theodolite;
- Make use of agricultural waste, especially livestock farming (for biogas);
- Information campaign and training of the rural and semi-urban population on the consequences of deforestation;
- Orientation to the conversion of field activities through financial and technical support to approved local structures. Otokoye, Min. Planning
- Legal and institutional framework re: environmental standards. Take account of reform and harmonization of legal frameworks re: land management
- Promoting environmental industries
- Organizing awareness campaigns on environmental standards
- Macro-zoning on a national scale for allocating land;

- Implementation of the development planning for forest concessions for sustainable management
- Group small-scale loggers for responsible logging.
- Teaching and education at national level: professionalize the environment (agroforestry, forestry, environment, etc.)
- Promote the certification of forest concessions, apply traceability
- Use of gas and oil stoves, furniture made from materials other than wood
- Recover and make use of residual wood biomass from logging
- Involvement of women in all REDD projects/programs and process
- Popularize the forest code in rural areas
- Agricultural instructors: capacity-building
- Community forestry

1- Energy	2-Agriculture and forest	3- Land tenure and land use planning	4- Technical/social innovation and action research	5- Relations with local and indigenous populations	6- Management of the REDD process	7- Local and national governance
<p>Reforestation with fast-growing species for producing fuel wood. Fast-growing species will create the micro-climatic conditions of undergrowth for establishing future regeneration.</p>	<p>Sedentarization of farming</p>	<p>Signing and adopting the decree on local communities' forests.</p>	<p>Promote new species that can replace traditional species and maximize the time spent by loggers in a cutting permit rather than having to spread their logging. Guy Landu, min. env.</p>	<p>Promote traditional and endogenous knowledge, with a forest management perspective. Néné Mainzana, RCEN journalist</p>	<p>Raise awareness and popularize the positive and negative impacts on the environment using the media</p>	<p>How can the Rural Agricultural Management Councils be involved as a potential source for a solution to the land problem?</p>
<p>Increase access to electricity for 80% of the population</p>	<p>Develop group farming</p>	<p>List the abandoned plantations and reallocate them to REDD projects to avoid pressure on the forest and on agricultural land. Antoine Iyela, Min. AGri</p>	<p>Promotion of improved stoves; Christophe Kumbi Kumbi, ANEC</p>	<p>Take into consideration the opinion of local and indigenous populations (PLA)</p>	<p>Organizing awareness campaigns on environmental standards</p>	<p>Is creating villages with proper draining outside forest areas a good solution to attract forest populations, and thus avoid increased pressure on forests?</p>
<p>Rehabilitation of micro and large hydroelectric dams;</p>	<p>Work in agroforestry but work on the field by preparing nurseries of indigenous trees for adapted agroforestry.</p>	<p>Encourage micro-zoning and participatory mapping</p>	<p>Logging: limit logging by setting tougher standards</p>	<p>Develop micro-credit programs for the PLAs, Annie Abimbola</p>	<p>Overview of the situation, awareness, ownership of the REDD process by the PLAs. Émilie Kani, civil society</p>	<p>Can creating municipal land reserves enable local communities to become forest managers?</p>

1- Energy	2-Agriculture and forest	3- Land tenure and land use planning	4- Technical/social innovation and action research	5- Relations with local and indigenous populations	6- Management of the REDD process	7- Local and national governance
Develop renewable energies (solar panels and other)	Make a list of the degraded forests and enrich them using commercial species (shade cocoa, cash crops)	Create villages with proper draining, to attract forest populations and avoid increased pressure on forests.	Promote income-generating activities based on the environment	Maintain, control, protect and develop the cultural heritage of PAs;	Raising awareness of the importance of maintaining the forest	Can creating municipal natural reserves enable local communities to participate in protecting the forest?
Make use of agricultural waste, especially from livestock farming (for biogas)	Recover and make use of residual wood biomass from logging	Increase the generation, transmission and distribution of electricity in rural areas. Semi-urban and rural areas: subsidy on pricing.	Using non-timber resources (small-scale basketry industry, etc.)	Promote the schooling of PAs at all levels in the Democratic Republic of the Congo;	Information campaign and training of the rural and semi-urban population on the consequences of deforestation;	How can the local level participate in managing the REDD projects?
Increase the generation, transmission and distribution of electricity in rural areas. Semi-urban and rural areas: subsidy on pricing.	Making use of the waste arising from logging	Adoption of a legal and institutional framework concerning environmental standards. Take into account the reform and harmonization of the legal frameworks concerning land management	Formalize small-scale exploitation of lumber. Philippe Manzanga, Min. Env., forest management	Promote preservation and processing techniques for agricultural products for the PLAs	Involvement of women in all REDD projects/programs and process	How does one carry out an annual operational audit of a sample of REDD projects?
	Group small-scale loggers for responsible logging	Macro-zoning on a national scale for allocating land;	Encourage farmer associations	Information campaign and training of the rural and semi-urban population on the consequences of deforestation;	Procedures facilitated/supported for approval of projects coming from local communities	How can compliance with national laws be ensured?

1- Energy	2-Agriculture and forest	3- Land tenure and land use planning	4- Technical/social innovation and action research	5- Relations with local and indigenous populations	6- Management of the REDD process	7- Local and national governance
	Formalize small-scale exploitation of lumber. Philippe Manzanga, Min. Env., forest management	Implementation of the development planning for forest concessions for sustainable management	Modernization of basic infrastructure (housing, roads, electricity, etc.)	Orientation for converting field activities through financial and technical support to approved local structures. Otokoye, Min. Planning	Creation of a mechanism that makes it possible to continue the processes in the event that a promoter pulls out, voluntarily or not.	
	Promote preservation and processing techniques for agricultural products for the PLAs	Rural Agricultural Management Council: basic structures, potential source of solution to the land problem. Benoit Nzaji Min. Agri.	Rural Agricultural Management Council: basic structures, potential source of solution to the land problem. Benoit Nzaji Min. Agri.		Process of selling or transferring the REDD projects	
	Popularize the Forest code in rural areas		Follow-up of the mitigation and rehabilitation plan for the mining and oil sector		Fund managed independently with retention of capital	
	Agricultural instructors: capacity-building		Popularization of electric stoves			
	Promote the certification of forest concessions, apply traceability		Promoting environmental industries			
	Community forestry		Teaching and education at national level: professionalize the environment (agroforestry, forestry, environment, etc.)			

1- Energy	2-Agriculture and forest	3- Land tenure and land use planning	4- Technical/social innovation and action research	5- Relations with local and indigenous populations	6- Management of the REDD process	7- Local and national governance
	<p>Rural Agricultural Management Council: basic structures, potential source of solution to the land problem. Benoit Nzaji Min. Agri.</p>		<p>Use of gas and oil stoves, furniture made from materials other than wood</p>			





- **Use of open spaces:** These are savannas and/or areas that are not put to good use by the PLAs — a score of 5 should be given if activities can mostly be done in this kind of area and 1 if this is not possible — intermediate situations are scored between 4 and 2.
- **Reduces pressure on the forest:** this reduction may be at deforestation and/or degradation level. If the action's main objective is to reduce this pressure, a 5 should be given; if the action does not reduce this pressure at all, the score should be 1.
- **Implementation cost:** if the implementation cost is low and achievable without external funds, the score is 5; if this cost must be financed at 100%, 1 should be given.
- **Low risk of creating flight zones:** If the action is likely to create pressure movements on the forest outside its implementation site: if the risk is virtually non-existent, score it 5; if, on the contrary, the risk is significant, score it 1.
- **Short-term profitability:** if profitability is high in the first three years, score it 5; if it is very low or zero, score it 1.
- **Long-term profitability:** if profitability is high after seven years or more, score it 5; if it is very low or zero, score it 1.
- **Transaction cost:** if transaction costs are likely to be high (more than 50% of net profits), score it 1; if they are low (5% and less), score it 5.
- **Stabilization of populations:** if the actions result in geographical stabilization of the rural population and their activities, score it 5; if, on the contrary, the actions have no effect or are likely to increase migration, score it 1.
- **Environmental benefits other than REDD:** if the action leads to more than five parallel environmental benefits outside REDD, score it 5; if there is none, score it 1.
- **Creation of local employment** if the action creates many local jobs (more than 300), score it 5; if the number is less than 30, score it 1.
- **Improves the quality of life of those affected:** if the action's objective or secondary effect is to significantly improve the quality of life of those affected (all affected people), score it 5; if there is no improvement, score it 1.
- **Sustainability of effects:** if the effects of the action can be sustained, score it 5; if the effects will only be felt for the duration of the action's implementation, score it 1.
- **Protection of biodiversity:** if the action improves the protection of biodiversity, score it 5; if it makes it worse, score it 1.
- **Simplicity of the implementation technique:** if the technical implementation processes are mastered at 100% by national resources, score it 5; if less than 30% of the technical process is mastered at national level, score it 1.
- **Social acceptability:** if the action can be easily and completely integrated into the socio-economic and social fabric without any loss, score it 5; if it requires many negotiations and likely concessions on both sides, score it 1.
- **Can be owned by grassroots communities:** if the action is feasible and manageable by grassroots communities without external support, score it 5; if more than three intermediates are required and constant support is desirable, score it 1.

**Analytical grid of the actions of groups 1, 2, 3 and 4 (example)**

<b>Activity: Promotion of improved stoves manufactured locally</b>		<b>Assessment mark:</b>
		<b>87.5%</b>
<b>Prerequisites</b>		
Conceived in a way that is adapted to practices (use of coal in urban areas, wood in rural areas)	Capacity-building teams for training farmers on the manufacturing process	
Manufacturing materials available locally	Availability of sufficient skill in the beneficiary communities	

<b>Risks</b>	
Non-ownership of the product by the beneficiaries	Inflation of the price of the manufacturing materials after distribution has started, thus terminating the program
Stopping the manufacturing after the project has started	
<b>Implementation areas</b>	<b>Selection criteria</b>
Across the country	Product that can be manufactured anywhere with minimum technical knowledge; potential users can be found throughout the country

**Analytical grid of the actions, groups 5, 6 and 7**

Question:

Is this relevant?

Yes

No

If yes:

Main objective to achieve:

Actions to be carried out to achieve the objective	Persons/agencies responsible for carrying out the action	Expected result	Monitoring responsibilities

**Analysis results of the working groups in Step 2, final version**

**Tools for devising the strategy, Step 3****Preliminary typology of the REDD+ intervention types in the Democratic Republic of the Congo**

Intervention type	Definition
<b>1. Enabling initiative</b>	Initiative of an enabling nature having a direct or indirect impact in the short or medium term on greenhouse gas emissions due to deforestation and forest degradation, the conservation, sustainable management of and increase in forest carbon stocks and wishing to be integrated into the national REDD+ strategy.
<b>2. Sectoral initiative</b>	Initiative of a sectoral nature having a direct or indirect impact in the short or medium term on greenhouse gas emissions due to deforestation and forest degradation, the conservation, sustainable management of and increase in forest carbon stocks and wishing to be integrated into the national REDD+ strategy.
<b>3. Aligned public initiative</b>	<u>Public</u> initiative of an enabling or sectoral nature, such as that described in the two previous categories, but whose project management is not under the delegated control of NC-REDD and whose owners have agreed to align their practices with the objectives of REDD.
<b>4. Aligned private project</b>	<u>Private</u> project whose primary objective is not linked to REDD+ but whose activities have influence of a varying degree on natural resources, and for which REDD+ recognizes that the devising or carrying out of this project focuses on minimizing impacts and on compatibility with the principles and objectives of REDD+.
<b>5 REDD+ project</b>	Set of activities aimed at changing the dynamics of deforestation and/or forest degradation and/or increase stocks of forest carbon, within a geographically defined area, to reduce emissions and/or increase absorption of greenhouse gas relating to these dynamics, <u>in order to make the most of these emissions reductions/absorption in a compensation mechanism based on the result (carbon fund or market).</u>
<b>6 PES project</b>	Provision of incentives or rewards to land managers for implementing practices that preserve or enhance a clearly defined natural or ecological asset.
<b>7 CDM A/R project</b>	Project for sequestering carbon through reforestation or afforestation activities, with the aim of using this sequestration in a compensation mechanism based on the result (CDM carbon fund or market).

**Area and sector of intervention**

Area	Sector			
A) Forest-related	1) Forest preservation	2) Regeneration of degraded forest	3) Reforestation	4) Afforestation
	5) Wood production			
B) Agricultural	1) Improved yields	2) Improving production storage	3) Marketing	
C) Agroforestry	1) Improved yields	2) Soil protection/preservation	3) Wood production	
D) Livestock farming	1) Improved yields	2) Improving production storage	3) Marketing	
E) Energy	1) Hydropower production	2) Reduction in the consumption of wood energy	3) Renewable energy	4) Production of wood energy
F) Land tenure and land use planning	1) IEC	2) Legal reform	3) Zoning activities	4) Other
G) Governance	1) Local management	2) Provincial management	3) National management	4) International management
	5) Monitoring-assessment	6) Control and Audit	7) Regulatory	
H) Social inclusion and local development	1) Training	2) IEC	3) Process adaptation	

Priority level	Very urgent	Priority	Sensitive	Normal
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**Reminder of the REDD+ objective**

Permanently reduce forest carbon emissions by combating deforestation and forest degradation, while improving the lives of the population in connection with the REDD+ interventions.

Sequester carbon by continually increasing the wood mass.

<i>Strategy</i>	<i>Intervention type</i>	<i>Priority level</i>	<i>Predominant area and sector</i>
<i>Wording</i>			
<i>Description</i>			
<i>Expected objective and results in connection with REDD+ aspects</i>			
<i>Related objectives</i>			
<i>Related expected results</i>			
<i>Implementation area</i>		<i>Direct accountability for the implementation</i>	
<i>Mandatory prerequisites for the strategy to succeed (if necessary)</i>		<i>Actions/activities of the working document relating to the strategy</i>	
<i>Other relevant information</i>			

### Compilation of the strategies devised by the working groups

#### Group 1

<b>Strategy 1</b>	<b>3- Intervention type</b>	<b>4- Priority level</b>	<b>5- Predominant area and sector</b>
	<b>2</b>	<b>Very urgent</b>	<b>E4</b>
<b>1- Wording</b>			
<b>Promote reforestation with fast-growing species (production of Makala, wood for fire/cooking)</b>			
<b>2- Description</b>			



This activity is aimed at degraded savanna areas that are not occupied by local and indigenous populations. Reforestation will be based on fast-growing local and imported species, in order to ensure permanent afforestation in the intervention area.

To enable continuous exploitation of planted wood, sowing shall take place at intervals of at least three months in a continuous manner. Trees that have reached their maximum growth age will be cut for producing charcoal and even wood for cooking or heating.

This project will be implemented both by NGOs and by privately owned businesses, all under the watchful eye of the Department for the Environment.

### Expected objective and results in connection with REDD+ aspects

#### 6- Related objectives

- Permanently reduce forest carbon emissions by combating deforestation and forest degradation, while improving the lives of the population in connection with the REDD+ interventions.
- Sequester carbon by continually increasing the wood mass while improving the population's quality of life in connection with the REDD+ interventions

#### 7- Related expected results

- Reduced pressure on the forest;
- People's living conditions are improved;
- Available wood energy;
- Biodiversity created and regenerated.

#### 8- Implementation area

Areas of savanna near major cities

#### 9- Direct accountability for implementation

Public sector, privately owned businesses and Civil Society

#### 10- Mandatory prerequisites for the strategy to succeed (if required)

- Identification and availability of the site to reforest;
- Feasibility studies;
- Available funds;
- Identification and consultation of stakeholders
- Raising awareness and capacity building

#### 11- Actions/activities no. in the working document relating to the strategy

- Group 2/Activity 2
- Group 2/Activity 21
- Group 2/Activity 23
- Group 4/Activity 1
- Group 4/Activity 11

#### 12- Other relevant information

Several projects related to this activity are currently being tested. These are:

- Eco-Makala project in the province of North Kivu (Goma)
- Mampu project, in the Batéké plateau (Kinshasa)
- Ibi Bateke project, in the Batéké plateau (Kinshasa)

Strategy 2	3- Intervention type	4- Priority level	5- Predominant area and sector
	2	Very urgent	E2

#### 1- Wording

#### Promote the manufacture and use of improved stoves and ovens

#### 2- Description

Promoting the production and use of improved stoves and ovens is designed to reduce fuel wood consumption, particularly the reduction of emissions due to deforestation and forest degradation. This reduction is greatly needed in the sense that it will bring a triple gain, namely in performance, time and money.

To do this, we will need to make available the ovens improved to optimal performance in the reforestation areas; and ensure industrial production of improved stoves in the major cities, while ensuring wide dissemination among the self-employed craft workers across the country.

The distribution can be used through the regular sales channel, i.e., producer-distributor-buyer for the products of the industry; and products from craft workers may, however, go from producer to buyer.

<b>Expected objective and results in connection with REDD+ aspects</b>	
<b>6- Related objectives</b>	
<ul style="list-style-type: none"> <li>➤ Permanently reduce forest carbon emissions by combating deforestation and forest degradation, while improving the lives of the population in connection with the REDD+ interventions.</li> </ul>	
<b>7- Related expected results</b>	
<ul style="list-style-type: none"> <li>➤ Improved quality and performance of the charcoal produced</li> <li>➤ Reduced CO<sub>2</sub> emissions</li> <li>➤ Reduced pressure on the forest</li> <li>➤ People's living conditions are improved</li> </ul>	
<b>8- Implementation area</b>	<b>9- Direct accountability for implementation</b>
<ul style="list-style-type: none"> <li>➤ Proximity of reforested areas for the improved ovens</li> <li>➤ Large cities for the improved stoves</li> </ul>	Public sector, privately owned businesses and Civil Society
<b>10- Mandatory prerequisites for the strategy to succeed (if required)</b>	<b>11- Actions/activities no. in the working document relating to the strategy</b>
<ul style="list-style-type: none"> <li>➤ Feasibility studies</li> <li>➤ Availability of funds</li> <li>➤ Awareness of the population on the merits of improved stoves and ovens</li> </ul>	<ul style="list-style-type: none"> <li>➤ Group 4/Activity 2</li> <li>➤ Group 4/Activity 8</li> <li>➤ Group 4/Activity 11</li> </ul>
<b>12- Other relevant information</b>	
Among the reforestation projects that are currently being tested, the Eco-Makala project in the North Kivu province (Goma) also promotes improved stoves and ovens.	

<b>Strategy 3</b>	<b>3- Intervention type</b>	<b>4- Priority level</b>	<b>5- Predominant area and sector</b>
	3	Priority	E2/E3
<b>1- Wording</b>			
<b>Exploit natural gas (particularly in Kivu and Lower Congo).</b>			
<b>2- Description</b>			
The exploitation of natural gases will produce a balanced ecosystem of Lake Kivu, which, if we are not careful, may cause a serious gas explosion. This activity will aim to produce energy for cooking and electricity, and is an alternative that will at the same time reduce pressure on the forest. This will involve setting up a gas power plant and a distribution network using pipelines or gas bottles.			

<b>Expected objective and results in connection with REDD+ aspects</b>	
<b>6- Related objectives</b>	
<ul style="list-style-type: none"> <li>➤ Permanently reduce forest carbon emissions by combating deforestation and forest degradation, while improving the lives of the population in connection with the REDD+ interventions.</li> </ul>	
<b>7- Related expected results</b>	
<ul style="list-style-type: none"> <li>➤ Reduced pressure on the forest;</li> <li>➤ Gas captured and made available;</li> <li>➤ Risk of explosion in Lake Kivu is minimized;</li> <li>➤ People's living conditions are improved;</li> <li>➤ The ecosystem balance is restored</li> </ul>	
<b>8- Implementation area</b>	<b>9- Direct accountability for implementation</b>
Kivu (Lake Kivu) and Lower-Congo (Moanda)	Government and private sector
<b>10- Mandatory prerequisites for the strategy to succeed (if required)</b>	<b>11- Actions/activities no. in the working document relating to the strategy</b>
<ul style="list-style-type: none"> <li>➤ Feasibility studies</li> <li>➤ Available funds</li> </ul>	Group 4/Activity 10

**12- Other relevant information**

In connection with this activity, according to the studies carried out, there is the possibility of setting up a power plant with an estimated capacity of 200 mW from gas from Lake Kivu. However, since the region's energy needs are estimated at 50 mW, the excess can be exported.

The project relating to this activity is already operational in Rwanda on the same lake.

In Moanda (Lower Congo), gases that are flared by oil companies can be used to strengthen the gas-powered electric plant that is there.

Strategy 4	3- Intervention type	4- Priority level priority	5- Predominant area and sector E1
<b>1- Wording</b>			
<b>Develop the infrastructure for generating, transmitting and distributing electricity</b>			
<b>2- Description</b>			
<p>This activity is very important in relation to the REDD challenges, because it will improve the population's rate of access to electricity, currently estimated at 9%. This involves building new hydroelectric plants and their associated networks to supply the major cities. A particular focus will be on the electrification of rural areas using micro power plants.</p> <p>Also on the agenda will be how to improve the production capacity of existing hydroelectric plants, strengthen transport lines, rehabilitate and extend distribution networks.</p>			

**Expected objective and results in connection with REDD+ aspects****6- Related objectives**

Permanently reduce forest carbon emissions by combating deforestation and forest degradation, while improving the lives of the population in connection with the REDD+ interventions.

**7- Related expected results**

Increased electricity production  
 Increased access to electricity  
 Reduced pressure on the forest  
 People's living conditions are improved  
 Flight from the land is mitigated.

**8- Implementation area**

Across the country: Potential sites for hydroelectric production.

**9- Direct accountability for implementation**

The Congolese State and the private sector

**10- Mandatory prerequisites for the strategy to succeed (if required)**

1. Feasibility studies
2. Availability of funds

**11- Actions/activities no. in the working document relating to the strategy**

- Group 4/activity 8  
 Group 2/activity 6

**12- Other relevant information**

According to the Department for Energy:

- There are 217 potential hydroelectric sites across the country that require development.
- For a period of 3 to 5 years (2011–2016), the Democratic Republic of the Congo will see the start-up and commissioning of three new hydroelectric plants (Zongo 2, Kakobola and Grand Katende) with a capacity of 223.3 mW for a total cost of USD 711.5 million, as well as a 2<sup>nd</sup> transmission line Inga - Kinshasa of 1,250 MVA–400 kV and 260 km long.
- The rehabilitation of the Inga 1 and 2 groups is 700 mW, at a cost of USD 230 million.
- The rehabilitation of the groups in the Nseke and Nzilo plants in the Katanga province is 364 mW, at a cost of USD 108 million.
- The rehabilitation of the group in the Tshopo plant in the Eastern province is 7 mW, at a cost of USD 11.3 million.

Strategy 5	3- Intervention type 2	4- Priority level Sensitive	5- Predominant area and sector E3
<b>1- Wording</b>			
<b>Step up the electrification of rural areas by using photovoltaic energy and wind turbines</b>			
<b>2- Description</b>			
<p>Electricity production in the Democratic Republic of the Congo is based mainly on hydropower. The cost relating to the associated networks for some rural areas may be expensive. There is therefore a need to diversify electricity sources and opt for those that offer easy implementation. Photovoltaic and wind energies present certain advantages and are best suited to the electrification of rural areas.</p>			
<b>Expected objective and results in connection with REDD+ aspects</b>			
<b>6- Related objectives</b>			
<p>Permanently reduce forest carbon emissions by combating deforestation and forest degradation, while improving the lives of the population in connection with the REDD+ interventions.</p>			
<b>7- Related expected results</b>			
<p>Increased electricity production.            Increased access to electricity            Reduced pressure on the forest            People's living conditions are improved            Flight from the land is mitigated.</p>			
<b>8- Implementation area</b>		<b>9- Direct accountability for implementation</b>	
<p>Rural centers where there is pressure on the forest and which cannot be reached by hydropower.</p>		<p>Public sector, privately owned businesses and Civil Society</p>	
<b>10- Mandatory prerequisites for the strategy to succeed (if required)</b>		<b>11- Actions/activities no. in the working document relating to the strategy</b>	
<ul style="list-style-type: none"> <li>➤ Available funds</li> <li>➤ Feasibility studies</li> <li>➤ Consultation of stakeholders</li> </ul>		<p>Group 4/activity 8            Group 2/activity 6            Group 3/activity 5</p>	
<b>12- Other relevant information</b>			

Strategy 6	3- Intervention type 2	4- Priority level sensitive	5- Predominant area and sector E3
<b>1- Wording</b>			
<b>Set up the Jatropha plantations for producing bio fuel</b>			
<b>2- Description</b>			
<p>These plantations will be set up in savanna areas or on uninhabited peripheral land. The Democratic Republic of the Congo has climatic advantages which are favorable to growing jatropha. The latter will produce energies that emit less carbon. This type of fuel can assist in the operation of small combustion engines, especially in rural areas where there are problems with fuel supply.</p>			
<b>Expected objective and results in connection with REDD+ aspects</b>			
<b>6- Related objectives</b>			
<p>Permanently reduce forest carbon emissions by combating deforestation and forest degradation, while improving the lives of the population in connection with the REDD+ interventions.</p> <p>Sequester carbon by continually increasing the wood mass while improving the population's quality of life in connection with the REDD+ interventions</p>			
<b>7- Related expected results</b>			
<p>Ecological fuel is available  Waste available for producing briquettes.  Reduced pressure on the forest  The population's living conditions are improved</p>			
<b>8- Implementation area</b>		<b>9- Direct accountability for implementation</b>	
Peripheral land throughout the country		Public sector, private sector and Civil Society	
<b>10- Mandatory prerequisites for the strategy to succeed (if required)</b>		<b>11- Actions/activities no. in the working document relating to the strategy</b>	
<p>Identification and acquisition of land  Available funds  Feasibility studies  Consultation with the stakeholders</p>		<p><b>Group 2/activity 7</b>  <b>Group 4/activity 10</b></p>	
<b>12- Other relevant information</b>			

Strategy 7	3- Intervention type 2	4- Priority level Sensitive	5- Predominant area and sector E3
<b>1- Wording</b>			
<b>Produce biogas from biodegradable waste</b>			
<b>2- Description</b>			
<p>The Democratic Republic of the Congo has a growing population, which produces a significant amount of waste. This waste can be recycled, thus contributing to preserving the environment and to creating wealth. Biodegradable waste can be useful for producing biogas, which is necessary for producing electricity and for other household uses (cooking)</p> <p>Besides being used as energy, waste from the production of biogas can be used as fertilizer in farming.</p>			

<b>Expected objective and results in connection with REDD+ aspects</b>	
<b>6- Related objectives</b> Permanently reduce forest carbon emissions by combating deforestation and forest degradation, while improving the lives of the population in connection with the REDD+ interventions.	
<b>7- Related expected results</b>  The environment cleaned up Increased electricity production. Increased access to electricity Reduced pressure on the forest People's living conditions are improved Fertilizers are produced	
<b>8- Implementation area</b>	<b>9- Direct accountability for implementation</b>
Proximity of urban centers, areas of livestock farming and agricultural production.	The Congolese State and private businesses
<b>10- Mandatory prerequisites for the strategy to succeed (if required)</b> <ul style="list-style-type: none"> <li>➤ Available funds</li> <li>➤ Feasibility studies</li> </ul>	<b>11- Actions/activities no. in the working document relating to the strategy</b>  Group 2/activity 4 Group 4/activity 10
<b>12- Other relevant information</b>	

**Group 2**

<b>Strategy A</b>	<b>3- Intervention type</b> 2, 5 and 6	<b>4- Priority level</b> Very important	<b>5- Predominant area and sector</b> B1
<b>1- Wording</b>			
Improve agricultural productivity through good management of soil fertility and the supply of inputs, for the purpose of settling agriculture			
<b>2- Description</b>			
Fertility improvement activities will be directed at: <ul style="list-style-type: none"> <li>- Popularizing good agricultural practices;</li> <li>- Improving access to agricultural inputs and micro finance;</li> <li>- Agroforestry;</li> <li>- The development of basic infrastructure (schools, free clinics, markets, warehouse, shops, sources of drinking water, etc.).</li> </ul>			
<b>Expected objective and results in connection with REDD+ aspects</b>			
<b>6- Related objectives</b>			
Decrease of the pressure on forest by the neighboring population			
<b>7- Related expected results</b>			
<ul style="list-style-type: none"> <li>- <b>Establishment of improved cultivation practices that protect the environment,</b></li> <li>- <b>Improvement in the standard of living of local and indigenous people,</b></li> <li>- <b>Decreased pressure on forests</b></li> </ul>			
<b>8- Implementation area</b>		<b>9- Direct accountability for implementation</b>	
All forest areas and forest galleries in the country		Ministries of: <ul style="list-style-type: none"> <li>- Land Affairs,</li> <li>- Agriculture,</li> <li>- Rural development</li> </ul>	
<b>10- Mandatory prerequisites for the strategy to succeed (if required)</b>		<b>11- Actions/activities no. in the working document relating to the strategy</b>	
<ul style="list-style-type: none"> <li>- Availability of funds and agricultural inputs,</li> <li>- Setting up grassroots farmers' organizations,</li> <li>- Strengthening institutional, technical and human capacities (INERA, SENASEM, SNV, universities and technical colleges, technical training centers),</li> <li>- Existence of micro-finance institutions at local level, managed by local and indigenous people,</li> <li>- Construction of basic infrastructure,</li> <li>- Involvement of local authorities.</li> </ul>		<b>G #: 2: 1 , 2, 3, 8, 9, 10, 11, 13, 14</b> <b>G#3 3: 3</b> <b>G#3 4: 5</b>	
<b>12- Other relevant information</b>			
<b>Strategy B</b>	<b>3- Intervention type</b> 2/5/6	<b>4- Priority level</b> Very urgent	<b>5- Predominant area and sector</b> B2, B3, D1, D2, D3.
<b>1- Wording</b>			
Diversification of income-generating agricultural activities to reduce the pressure exerted by the population living on the edge of forests and forest galleries			
<b>2- Description</b>			
Develop on small agricultural areas semi-enhanced animal husbandry of poultry, small livestock and fish farming Organize the sector for processing, preserving and marketing agricultural products Rehabilitate agricultural service roads			

<b>Expected objective and results in connection with REDD+ aspects</b>	
<b>6- Related objectives</b>	
<p>Increased production of animal proteins  Improvement in the population's standard of living and health  Job creation</p>	
<b>7- Related expected results</b>	
<p>The population is settled  Decreased pressure on forests</p>	
<b>8- Implementation area</b>	<b>9- Direct accountability for implementation</b>
All forest areas and their surroundings	<p>MINAGRI  MINIDER</p>
<b>10- Mandatory prerequisites for the strategy to succeed (if required)</b>	<b>11- Actions/activities no. in the working document relating to the strategy</b>
<p>The political will to make the funds available  Preparation of programs and projects  Rural areas are structured  Construction and rehabilitation of basic infrastructure  Strengthening the capacity of popularization structures  Security of tenure</p>	<p>G#2: 2, 5, 6, 11, 12, 13, 14, 15  G#3: 3, 5  G#4: 5</p>
<b>12- Other relevant information</b>	

**Group 3**

<b>Strategy 1</b>	<b>3- Intervention type</b> 3	<b>4- Priority level</b> Very urgent	<b>5- Predominant area and sector</b> A1, 6; F; G1, 5, 7 and 8; H2, 4, 5, 6
<b>1- Wording</b>			
Securing the PLAs both in land and forest matters; Activities: 1, 2, 4, 6, 7			
<b>2- Description</b>			
In order to reduce the pressure on forests and allow rational (e.g., effective and efficient) use of forests and land within the PLAs, the signing of the order and the decree on the right of collective and individual enjoyment and the harmonization of a legal, institutional and consultation framework in the field of land management are essential.			

<b>Expected objective and results in connection with REDD+ aspects</b>	
<b>6- Related objectives</b>	
<ul style="list-style-type: none"> <li>- Decrease the pressure on forests;</li> <li>- Make rational use of forest resources;</li> <li>- Improve the PLAs' standard of living;</li> </ul>	
<b>7- Related expected results</b>	
<ul style="list-style-type: none"> <li>- Effective reduction of pressure on forests guaranteed;</li> <li>- Rational use of forest resources guaranteed;</li> <li>- PLAs' living conditions are improved</li> </ul>	
<b>8- Implementation area</b>	<b>9- Direct accountability for implementation</b>
- Throughout the national territory	- Government through the Ministries concerned



<b>10- Mandatory prerequisites for the strategy to succeed (if required)</b> <ul style="list-style-type: none"><li>- Availability of legal texts;</li><li>- Availability of funds;</li><li>- Political will;</li><li>- Involvement of all the stakeholders;</li></ul>	<b>11- Actions/activities no. in the working document relating to the strategy</b> <ul style="list-style-type: none"><li>- G2-17, 18, 21,22;</li><li>- G5-Q1, Q7, Q9, Q10;</li><li>- G6-Q4, Q5, Q6;</li><li>- G7-Q3, Q4, Q5, Q7, Q8;</li></ul>
<b>12- Other relevant information</b>	

<b>Strategy 2</b>	<b>3- Intervention type</b> 3	<b>4- Priority level</b> Very urgent	<b>5- Predominant area and sector</b> A; B1 and 3; C1 and 2; F; G1, 2, 3, 5, 7 and 8; H
<b>1- Wording</b>			
Support for the structures managing land problems			
<b>2- Description</b>			
The problem of land ownership is widespread in the Democratic Republic of the Congo. Security must be ensured for landowners, their standard of living must be improved and urban and rural land use must be regulated by the necessary means, ensuring that the bodies responsible for managing land issues can operate effectively.			
<b>Expected objective and results in connection with REDD+ aspects</b>			
<b>6- Related objectives</b>			
<ul style="list-style-type: none"> <li>- The pressure on the forest is reduced;</li> <li>- Improvement of the population's living standard;</li> <li>- Carbon sequestration by increasing the wood mass following reforestation.</li> </ul>			
<b>7- Related expected results</b>			
<ul style="list-style-type: none"> <li>- Guaranteed effective reduction of pressure on the forest;</li> <li>- The standard of living of the population is improved;</li> <li>- Increased wood mass;</li> </ul>			
<b>8- Implementation area</b>		<b>9- Direct accountability for implementation</b>	
<ul style="list-style-type: none"> <li>- Throughout the national territory (in areas of high density and put in place safeguards in low-density areas)</li> </ul>		<ul style="list-style-type: none"> <li>- Government through the relevant Ministries</li> </ul>	
<b>10- Mandatory prerequisites for the strategy to succeed (if required)</b>		<b>11- Actions/activities no. in the working document relating to the strategy</b>	
<ul style="list-style-type: none"> <li>- Availability of funds;</li> <li>- Political will;</li> <li>- Good practice of managing human resources;</li> <li>- Effective involvement of all stakeholders at every level of the strategy;</li> </ul>		<ul style="list-style-type: none"> <li>- G1-1,2;</li> <li>- G2-1,2,4,5,6,7,8,9,10,11,12,13,14,17,19,21,23;</li> <li>- G4-1, 2, 5, 6, 9, 10,11;</li> <li>- G5-Q7, Q8, Q10;</li> <li>- G6-Q3, Q4, Q5;</li> <li>- G7-Q1, Q3, Q4, Q7, Q8, Q10</li> </ul>	
<b>12- Other relevant information</b>			

<b>Strategy 3</b>	<b>3- Intervention type</b> 3	<b>4- Priority level</b> Very urgent	<b>5- Predominant area and sector</b> B; C1 and 2; D; F1 and 3; G1, 2, 3, 5, 6, 7 and 8; H
<b>1- Wording</b>			
Promote alternative development activities in order to reduce pressure on the forest			
<b>2- Description</b>			
In the context of reducing pressure on the forest through the settling of the rural population by improving their standard of living, the diversification of exchange activities for the benefit of local communities through organized local economic structures (cooperatives, etc.) is one of the solutions.			

<b>Expected objective and results in connection with REDD+ aspects</b>	
<b>6- Related objectives</b> <ul style="list-style-type: none"> <li>- Settle the population;</li> <li>- Improve the population's living standard;</li> <li>- Reduce the pressure on the forest;</li> <li>- Facilitate the exchange of marketable products;</li> </ul>	
<b>7- Related expected results</b> <ul style="list-style-type: none"> <li>- Settlement of the population guaranteed;</li> <li>- The standard of living of the population is improved;</li> <li>- Reduced pressure on the forest;</li> <li>- Trade in marketable products facilitated;</li> </ul>	
<b>8- Implementation area</b>	<b>9- Direct accountability for implementation</b>
<ul style="list-style-type: none"> <li>- Throughout the national territory</li> </ul>	<ul style="list-style-type: none"> <li>- Government through the relevant Ministries</li> </ul>
<b>10- Mandatory prerequisites for the strategy to succeed (if required)</b> <ul style="list-style-type: none"> <li>- Ownership of the REDD process;</li> <li>- Political will;</li> <li>- Availability of funds;</li> <li>- Involvement of stakeholders in managing and implementing the strategy;</li> <li>- Building stakeholders' capacity</li> </ul>	<b>11- Actions/activities no. in the working document relating to the strategy</b> <ul style="list-style-type: none"> <li>- G2-5,6;</li> <li>- G3-4;</li> <li>- G5-Q3, Q8;</li> <li>- G6-Q10.</li> </ul>
<b>12- Other relevant information</b>	

**Group 4**

<b>Strategy A</b>	<b>3- Intervention type</b>	<b>4- Priority level</b>	<b>5- Predominant area and sector</b>
	2	sensitive	E 2,4
<b>1- Wording</b>			
<i>Development of the use of alternative energies that can reduce fuel wood consumption</i>			
<b>2- Description</b>			
<i>Promote industries that make products whose use results in a reduction of wood exploitation: solar, wind, hydraulic and biogas energies            Develop small local industries for producing equipment (solar oven, propellers, bio-digesters)            Promote the electrification of urban and peri-urban areas</i>			

**Expected objective and results in connection with REDD+ aspects****6- Related objectives**

*Permanently reduce forest carbon emissions while combating deforestation and forest degradation  
 Contribute to improving the population's living conditions in relation to the REDD+ interventions*

**7- Related expected results**

*Getting energy at a lower cost,  
 The pressure exerted on the forest is reduced,  
 Improvement of the population's living conditions*

<b>8- Implementation area</b>	<b>9- Direct accountability for implementation</b>
Areas with a high concentration of population that has a high demand for energy	MECNT, Planning Ministry, MINIDER, ONGDs
<b>10- Mandatory prerequisites for the strategy to succeed (if required)</b>	<b>11- Actions/activities no. in the working document relating to the strategy</b>
Fund raising Availability of the raw material Community awareness Training of local personnel	G 1 : 2, 5, 6 and 7 G 2 :4,20 G 4 : 2,8 and 10 G 6:
<b>12- Other relevant information</b>	

<b>Strategy B</b>	<b>3- Intervention type</b> 7	<b>4- Priority level sensitive</b>	<b>5- Predominant area and sector</b> A 2, 3, 4 and 5
<b>1- Wording</b>			
Turn areas that are not used, abandoned and/or contaminated into productive areas			
<b>2- Description</b>			
Reforestation with fast-growing and decontaminating species in contaminated areas			

<b>Expected objective and results in connection with REDD+ aspects</b>	
Sequester carbon by continually increasing the wood mass Combat soil degradation	
<b>7- Related expected results</b>	
Increase in the wood mass and the capacity for carbon sequestration Use of wood as a renewable energy source Improvement of living conditions	
<b>8- Implementation area</b>	<b>9- Direct accountability for implementation</b>
Areas degraded by mining extraction Areas contaminated by natural disasters Degraded areas of savanna or forest	Ministries involved, ONGDs, grassroots farmers' organizations
<b>10- Mandatory prerequisites for the strategy to succeed (if required)</b>	<b>11- Actions/activities no. in the working document relating to the strategy</b>
Identification of areas and their final use Availability of testing laboratories Setting up a system to manage waste from the burning of	G 1 : 1 G 2 : 1, 18, 19 and 23 G 4: 1 and 7

<i>reforested trees</i>	
<b>12- Other relevant information</b>	

<b>Strategy C</b>	<b>3- Intervention type</b> 3	<b>4- Priority level</b> Priority	<b>5- Predominant area and sector</b> A1
<b>1- Wording</b>			
Strengthening the control mechanisms for the sustainable management of forest resources			
<b>2- Description</b>			
Strengthen the applicability measures of the standards for producing and exploiting wood in the targeted areas Set up an effective system for controlling areas: forest rangers and unmanned aircraft Produce thematic maps on the state of degradation and deforestation			
<b>Expected objective and results in connection with REDD+ aspects</b>			
<b>6- Related objectives</b> Sustain the achievements of the REDD+ process by the local and indigenous population			
<b>7- Related expected results</b> The participatory management of local communities in the REDD+ process Availability of information on the process availability of thematic maps on the state of degradation			
<b>8- Implementation area</b>		<b>9- Direct accountability for implementation</b>	
Throughout the country		MECNT, Department of Planning, MINIDER	
<b>10- Mandatory prerequisites for the strategy to succeed (if required)</b> Availability of subsidiary legislation and legislation in force Acquisition of logistical means Setting up of a forestry brigade composed and managed by local people		<b>11- Actions/activities no. in the working document relating to the strategy</b> G2: 7 and 21 G4: 3 and 12 G5: 4 G7: 4	
<b>12- Other relevant information</b>			

<b>Strategy D</b>	<b>3- Intervention type</b> 5	<b>4- Priority level</b> Priority	<b>5- Predominant area and sector</b> H1, 2, 3 and 6
<b>1- Wording</b>			
Devising an IEC participatory strategy in the REDD+ process			
<b>2- Description</b>			
Raise awareness, popularize and educate the population on the REDD+ process by using participatory methods			

<b>Expected objective and results in connection with REDD+ aspects</b>
<b>6- Related objectives</b>

<i>Include the views of local communities in the process for permanently reducing forest carbon emissions</i>	
<b>7- Related expected results</b>  <i>Ownership of the process by local communities</i>	
<b>8- Implementation area</b>	<b>9- Direct accountability for implementation</b>
<i>Throughout the country</i>	<i>All stakeholders in the process</i>
<b>10- Mandatory prerequisites for the strategy to succeed (if required)</b> <i>Availability of physical resources</i> <i>Training and equipment for staff</i>	<b>11- Actions/activities no. in the working document relating to the strategy</b>  <i>G2: 7, 9, 11, 16, 17, 18 and 21</i> <i>G4: 5 and 9</i> <i>G5: 1, 4, 5, 6, 7, 9 and 10</i> <i>G6: 1, 2, 3, 4, 5 and 6</i> <i>G7: 2 and 5</i>
<b>12- Other relevant information</b>	

**Group 5**

<b>Strategy 1</b>	<b>3- Intervention type</b> 3	<b>4- Priority level</b> <u>Very urgent</u>	<b>5- Predominant area and sector</b> H-1-2-3-6
<b>1- Wording</b>			
1. Information, Education and Communication (IEC)			
<b>2- Description</b>			
-Raise awareness and popularize the REDD process			

<b>Expected objective and results in connection with REDD+ aspects</b>	
6- Related objectives: Taking knowledge and ownership of the REDD process	
7- Related expected results: - The REDD process is popularized - The population is made aware - Ownership of the REDD process	
<b>8- Implementation area</b>	<b>9- Direct accountability for implementation</b>
-City -Village -Hamlets	-The State (the following Departments: Environment, Planning, Rural Development, Agriculture, Higher Education and University, EPSP, Culture and Art, Home Affairs, Information and Gender) -The population -Civil Society -REDD -Organization -Private sector
<b>10- Mandatory prerequisites for the strategy to succeed (if required):</b> -The political will -Conflict management -Peace -Availability of funds and teaching material	<b>11- Actions/activities no. in the working document relating to the strategy:</b> -G(2)-21 -G(3)-1 -G(4)-5-9 -G(6)-1-2-3-4-5-
<b>12- Other relevant information:</b> -Management of natural disasters; -Impracticability of rural tracks - Failure to control demographic data	

<b>Strategy 2</b>	<b>3- Intervention type</b> 3	<b>4- Priority level</b> <u>Very urgent</u>	<b>5- Predominant area and sector</b> H-1-3-4-5-6
<b>1- Wording</b>			
-Improvement of basic social infrastructure, human capitalization and support to income-generating activities			
<b>2- Description</b>			



<ul style="list-style-type: none"> <li>Schooling;</li> <li>Access to drinking water</li> <li>-Improvement in housing;</li> <li>-Access to rural roads</li> <li>-Access to electricity;</li> <li>-Construction of markets;</li> <li>-Access to health care;</li> <li>-Access to communication</li> </ul>	<ul style="list-style-type: none"> <li>-Strengthening capacity;</li> <li>-Training;</li> <li>-Women's empowerment;</li> <li>-The promotion of appropriate technology;</li> <li>-Support for inputs;</li> <li>- Development of micro-credit;</li> <li>-Farmers' organization</li> </ul>
<b>Expected objective and results in connection with REDD+ aspects</b>	
<b>6- Related objectives:</b> Improve the population's living conditions to relieve pressure on the forest	
<b>7- Related expected results:</b> <ul style="list-style-type: none"> <li>-Basic infrastructure improved;</li> <li>-Schooling is ensured and upgraded;</li> <li>-Labor is available;</li> </ul>	<ul style="list-style-type: none"> <li>-Micro-credit is set up;</li> <li>- Farmer organizations are created and structured.</li> </ul>
<b>-The involvement of women in the REDD process is ensured;</b>	
<b>8- Implementation area</b>	<b>9- Direct accountability for implementation</b>
<ul style="list-style-type: none"> <li>-City;</li> <li>-Village;</li> <li>-Hamlets</li> </ul>	<ul style="list-style-type: none"> <li>-The State (the following Departments: Environment, Planning, Rural Development, Agriculture, Higher Education and University, EPSP, Culture and Art, Home Affairs, Information, Gender, Infrastructure and Health);</li> <li>-The population</li> <li>-Civil Society</li> <li>-REDD</li> <li>-Organization</li> <li>-Private sector</li> </ul>
<b>10- Mandatory prerequisites for the strategy to succeed (if required):</b> <ul style="list-style-type: none"> <li>-The political will;</li> <li>-Availability of funds;</li> <li>-Peace and security;</li> <li>-Involvement of the population</li> </ul>	<b>11- Actions/activities no. in the working document relating to the strategy:</b> <ul style="list-style-type: none"> <li>-G(1)-1-4-5-6-7-</li> <li>-G(2)-4-5-6- 9-10-12-13-14-15-16-17-18-19-20-21-23-</li> <li>-G(3)-5-</li> <li>-G(4)-4-6-8-9-</li> <li>-G(6)-5-10-</li> <li>-G(7)-2-</li> </ul>
<b>12- Other relevant information</b> <ul style="list-style-type: none"> <li>- Compliance with the Environmental and Social Impact Assessments (ESIAs)</li> <li>-Lack of public-spiritedness;</li> </ul>	

<b>Strategy 3</b>	<b>3- Intervention type</b> 3	<b>4- Priority level</b> <u>Sensitive</u>	<b>5- Predominant area and sector</b> -G: -1-2-3-4-5-6-7-8 -H: -1-2-3-4-5-6
<b>1- Wording</b>			
-Conflict management			
<b>2- Description</b>			
<ul style="list-style-type: none"> <li>-Harmonizing relations between groups of people;</li> <li>-Preventing conflict;</li> <li>-Good governance;</li> <li>-Knowledge of the environment</li> </ul>			

<b>Expected objective and results in connection with REDD+ aspects</b>
<b>6- Related objectives: Promote peaceful coexistence for effective involvement of the population in the REDD process.</b>
<b>7- Related expected results:</b>

<ul style="list-style-type: none"> <li>- Relationship harmonized;</li> <li>- Conflicts resolved;</li> <li>- Peace restored;</li> </ul>	
<b>8- Implementation area</b>	<b>9- Direct accountability for implementation</b>
<ul style="list-style-type: none"> <li>-Bordering country</li> <li>-City;</li> <li>-Village;</li> <li>-Hamlets</li> </ul>	<ul style="list-style-type: none"> <li>-The states;</li> <li>-The State;</li> <li>-International organizations</li> <li>--The population</li> <li>-Civil Society</li> <li>-REDD</li> <li>-Private sector</li> </ul>
<b>10- Mandatory prerequisites for the strategy to succeed (if required)</b> <ul style="list-style-type: none"> <li>-The political will of the states;</li> <li>-The availability of the population;</li> <li>-The availability of funds</li> </ul>	<b>11- Actions/activities no. in the working document relating to the strategy</b> <b>G(2)-14-18-</b> <b>G(3)-1-2-3-4-</b> <b>G(4)-3-</b> <b>G(6)-5-</b> <b>G(7)-1-</b>
<b>12- Other relevant information</b> <ul style="list-style-type: none"> <li>-Treat the opinions of all parties equally;</li> <li>-Social injustice;</li> <li>-Non-compliance with agreements</li> </ul>	

**Group 6**

<b>Strategy 1</b>	<b>3- Intervention type</b>	<b>4- Priority level</b>	<b>5- Predominant area and sector</b>
	1 and 2	Very urgent	<ul style="list-style-type: none"> <li>- A; B (1 and 2); C (2 and 3)</li> <li>- D (2)</li> <li>- E (2,3 and 4)</li> <li>- F (1,2 and 3)</li> <li>- G (1, 5, 7 and 8)</li> <li>- H (1, 2, 3, 5 and 6)</li> </ul>
<b>1- Wording</b>			
Improving the means of communication of the REDD Process			
<b>2- Description</b>			
<ul style="list-style-type: none"> <li>• Raising awareness and popularization</li> <li>• Training and information</li> <li>• Promotion and marketing</li> </ul>			
<b>Expected objective and results in connection with REDD+ aspects</b>			
<b>6- Related objectives</b>			
Bring the public to own the process of combating deforestation and forest degradation with a view to permanently reduce forest carbon emissions and to improve their living conditions.			
<b>7- Related expected results</b>			
<ul style="list-style-type: none"> <li>• Effective ownership of the process</li> <li>• Effective reduction in gas emissions</li> <li>• Improved living conditions of local and indigenous people</li> </ul>			

8- Implementation area	9- Direct accountability for implementation
Throughout the Democratic Republic of the Congo	National Coordination (NC) REDD
<b>10- Mandatory prerequisites for the strategy to succeed (if required)</b> <ul style="list-style-type: none"> <li>A communication plan has been devised,</li> <li>A communication structure has been set up.</li> </ul>	<b>11- Actions/activities no. in the working document relating to the strategy</b> <b>G1: Activity 1 and 2; G2: activity 1, 2, 7, 8, 9,11, 17 and 21;</b> <b>G3: activity 3 and 4; G4: activity 1, 2, 5, 8 and 9;</b> <b>G5: Q1, 3, 5, 6, 7, 9 and 10; G7: Q5, 7,9 and 10</b>
<b>12- Other relevant information</b> <ul style="list-style-type: none"> <li>Strengthening the capacity of the networks of communicators in the REDD process;</li> <li>Identifying communication channels in the provinces in relation to cultural data;</li> <li>Organizing workshops and seminars on the REDD processes;</li> <li>Translating environmental standards into national languages.</li> </ul>	

Strategy 2	3- Intervention type 1, 2, 3, 4, 5, 6,7	4- Priority level Priority	5- Predominant area and sector A, B, C, D, E, F, G, H.
<b>1- Wording</b>			
<b>Maintaining effective governance in relation to the requirements of the REDD process</b>			
<b>2- Description</b>			
<ul style="list-style-type: none"> <li>Legal framework of the Process;</li> <li>Organizational structure;</li> <li>Financial management;</li> <li>Management of REDD projects;</li> <li>Protection of gender and the PLA.</li> </ul>			
<b>Expected objective and results in connection with REDD+ aspects</b>			
<b>6- Related objectives</b>			
<b>Ensure the efficiency and good governance of the REDD process</b>			
<b>7- Related expected results</b>			
<ul style="list-style-type: none"> <li>The legal framework of the process is defined;</li> <li>The organizational structure is set up and functional;</li> <li>The financial management is coordinated and operational;</li> <li>Gender and PLA are taken into account in managing the REDD process.</li> </ul>			
8- Implementation area	9- Direct accountability for implementation		
Throughout the Democratic Republic of the Congo	The National Coordination (NC) REDD, the Technical Department and Civil Society		
<b>10- Mandatory prerequisites for the strategy to succeed (if required)</b> <ul style="list-style-type: none"> <li>Devise objective criteria for recruiting managers;</li> <li>Plan the periodic control and audit missions (internal-external);</li> <li>Organize a plan for training managers;</li> <li>Staff have good working conditions;</li> <li>Advocate the simplifying of the procedures for granting the land titles of local communities;</li> <li>Sign the decree establishing the creation, organization and functioning of NC REDD.</li> </ul>	<b>11- Actions/activities no. in the working document relating to the strategy</b>  <b>G1: activity 3,4</b>		

**12- Other relevant information**

- Propose alternative activities to the abusive exploitation of the forest;
- Integrate women in managing the REDD process;
- Define the approval criteria of projects originating from local communities;
- Ensure the transparency and traceability, as well as the financial, technical and administrative autonomy of the fund.

**Group 7**

<b>Strategy A</b>	<b>3- Intervention type</b> 1	<b>4- Priority level</b> Very urgent	<b>5- Predominant area and sector</b> A1–A5/B1–B3/C1–C3/D1–D3/E1–E3/F1–F4/G1–G8/H1–H6
<b>1- Wording</b>			
<b>Set up a control mechanism for the good governance of the REDD process</b>			
<b>2- Description</b>			
<ul style="list-style-type: none"> <li>• revise certain laws to adapt them to the realities on the ground</li> <li>• strengthening the internal capacity of stakeholders on the control and the standards</li> <li>• control management tools (accounting documents, monitoring reports, administrative documents such as contracts, etc.; the records of equipment, the areas allocated to REDD projects, etc.)</li> <li>• conduct periodic internal and external audits of the REDD projects/programs</li> </ul>			

**Expected objective and results in connection with REDD+ aspects****6- Related objectives**

- Ensure transparency and traceability in the different phases of executing REDD projects
- Sustainably manage the various resources in relation to REDD projects
- Involve all stakeholders in executing REDD projects

**7- Related expected results**

- Effective project management
- Sustainability of resources
- Ownership of projects by stakeholders
- Improvement of PLAs' conditions

**8- Implementation area**

All areas of the Democratic Republic of the Congo where there are REDD projects as well as promoters of REDD national fund projects

**9- Direct accountability for implementation**

R/MECNT and other stakeholders

**10- Mandatory prerequisites for the strategy to succeed (if required)**

- Make available all legal instruments relating to the control and good governance mechanism for all stakeholders
- Having qualified staff
- Having adequate financial and material means
- Make available the land use plan
- The political will

**11- Actions/activities no. in the working document relating to the strategy**

G2, 21/G3, 2/G3,6/G4,3/G4,9/G5, 1/G5, 3/G5,4/G5, 5/G5, 7/G5,8/G5,9/G5,10/G6,1/G6,2/G6,4/G6,7/G6,11/G6,13/G6,14/G6,15/G6,16/G7,5/G7,6/G7,7/G7,9/

**12- Other relevant information**

- The will to capitalize on the experiences of the TCs who participated in developing the REDD strategy to ensure a logical succession of the process (database of all participants);
- Take into account remuneration standards, with balanced pay between expatriates and nationals within REDD work, in relation to CVs;
- Define the Legal status of the TCs
- Raise awareness among the members of the Council of Ministers on climate change and the REDD process;
- Require restitution sessions in the various fora inside and outside the country on the REDD process.

<b>Strategy B</b>	<b>3- Intervention type</b> 2	<b>4- Priority level</b> Very urgent	<b>5- Predominant area and sector</b> G1; A5; A3; A4; B1; B3; C3; E3; E4; F1; F3; H5
<b>1- Wording</b>			
<b>Setting up community forests for using fuel wood in order to reduce pressure on existing forests</b>			

**2- Description**

- Draw up a land use plan (zoning) for allocating areas and securing land.
- Press for expediting the process of signing the Decree creating community forests so that communities can legally enjoy their rights;
- Define the method for managing community forests by taking into account gender and vulnerable groups to take ownership of the process.

**Expected objective and results in connection with REDD+ aspects****6- Related objectives**

- Reduce the pressure on existing forests
- Conserve natural resources
- Share revenues
- Set up community forests
- Improve PLAs' standard of living
- Sequester carbon

**7- Related expected results**

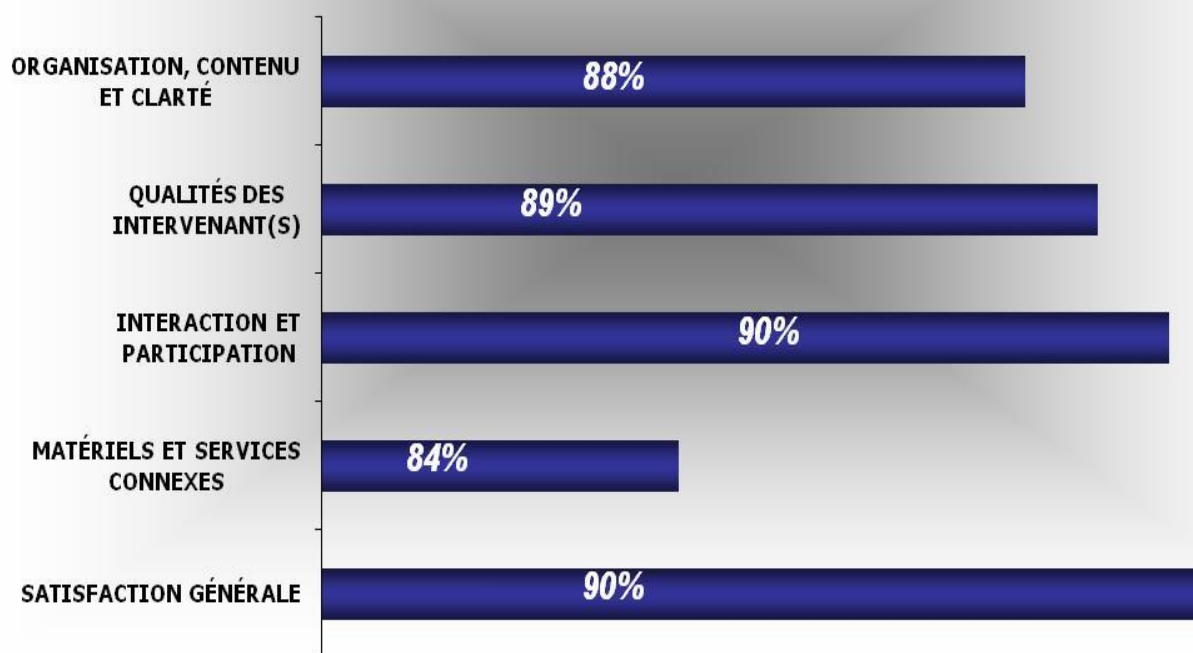
- Existing forests are maintained and improved
- The sustainable management of community forests is effective
- Areas for alternative activities (farming, animal husbandry, fishing) are created
- Increase in biodiversity and habitat preservation
  - Poverty is reduced
  - Community forests are set up
  - The PLAs' living conditions are improved
  - Compensation for PLAs in favor of REDD is effective
- Increase in the stock of sequestered carbon

<b>8- Implementation area</b>	<b>9- Direct accountability for implementation</b>	
<ul style="list-style-type: none"> <li>• Areas of savannah</li> <li>• Hinterlands around large cities</li> <li>• Erosive sites</li> <li>• Forest galleries</li> <li>• Contaminated or degraded areas due to mining</li> </ul>	MECNT and interdepartmental Committee	
<b>10- Mandatory prerequisites for the strategy to succeed (if required)</b> <ul style="list-style-type: none"> <li>• A land use plan has been drawn up</li> <li>• Availability of adequate financial resources</li> <li>• Identifying and strengthening the capacities of resource people for implementing the strategy</li> <li>• Involvement of the PLAs and of the committee for monitoring social and environmental risks.</li> </ul>	<b>11- Actions/activities no. in the working document relating to the strategy</b>  G1,2/G1,7/G1,17/G1,19/G2,2/G2,18/ G2,21/G2,22/G2,23/G3,1/G3,2/G3,4/G3,6/G3,7/	
<b>12- Other relevant information</b>		

### Assessment report of the consultation process

<b>Ateliers de préparation de la stratégie REDD+ Version "0"</b>										
<b>-Agreco/Land-Ressources Centre Caritas, avril 2011-</b>										
<b>Critères d'évaluation</b>										
		Tout à fait d'accord	D'accord	Plutôt d'accord	Plutôt en désaccord	En désaccord	Tout à fait en désaccord	Ne s'applique pas	Nombre de répondants	%
<b>1 ORGANISATION, CONTENU ET CLARTÉ</b>										
<b>88,3%</b>										
1.1	Les objectifs et le plan de travail ont été présentés clairement	36	28	3					67	89,85
1.2	Le contenu des ateliers est ordonné de manière logique	21	39	2					62	86,13
1,3	La charge de travail est adéquate	28	32	7	1	1			69	84,64
1,4	Les éléments théoriques transmis permettent d'alimenter les débats	36	27		1				64	90,63
1,5	la méthodologie employée est adéquate à l'égard des résultats attendus	26	31	5	1				63	86,03
1,6	Le matériel fourni sur le DVD est utile au travail	45	16		1	1			63	92,70
		<b>192</b>	<b>173</b>	<b>17</b>	<b>4</b>	<b>2</b>	<b>0</b>	<b>0</b>		
<b>2 QUALITÉS DES INTERVENANT(S)</b>										
<b>89,2%</b>										
2.1	Les intervenants manifestent de l'intérêt lors de l'animation	36	21		1				58	91,72
2.2	Les intervenants stimulent la réflexion et encouragent le développement de nouvelles approches	34	24	2		1			61	89,51
2.3	Les intervenant possèdent une connaissance suffisante du sujet	30	26	3					59	89,15
2.4	Les intervenants utilisent des exemples pertinents	25	28	4		1			58	86,21
		<b>125</b>	<b>99</b>	<b>9</b>	<b>1</b>	<b>2</b>	<b>0</b>	<b>0</b>		
<b>3 INTERACTION ET PARTICIPATION</b>										
<b>90,0%</b>										
3.1	Les participants sont encouragés à faire part de leurs idées, connaissances et expériences pertinentes	40	19	4	1				64	90,63
3.2	Les intervenant prennent en considération les points de vue des participants	39	23	2					64	91,56
3.3	Les intervenants intègrent les idées, connaissances et expériences pertinentes des participants dans le processus	38	21	5					64	90,31
3.4	Les débats et discussions sont gérés efficacement	27	30	2		1			60	87,33
		<b>144</b>	<b>93</b>	<b>13</b>	<b>1</b>	<b>1</b>	<b>0</b>	<b>0</b>		
<b>4 MATÉRIELS ET SERVICES CONNEXES</b>										
<b>84,2%</b>										
4.1	les salles de formation sont adaptées aux besoins du travail	39	16	4					59	91,86
4.2	Les frais qui sont alloués pour le transport combler les dépenses qui y sont reliés	13	27	11	3	8	1		63	69,84
4.3	le cadre choisi pour la formation se prête bien au travail	45	15	4					64	92,81
4.4	Les repas offerts sont appréciés	25	29	6	1	2			63	83,49
4.5	Je suis satisfait(e) de l'assistance offerte	25	29	8	3				65	83,38
		<b>147</b>	<b>116</b>	<b>33</b>	<b>7</b>	<b>10</b>	<b>1</b>	<b>0</b>		
<b>5 SATISFACTION GÉNÉRALE</b>										
<b>90,4%</b>										
5.1	Ce travail a permis de consolider mes connaissances sur la REDD+	48	16						64	95,00
5.2	Ce travail était nécessaire pour une meilleure intégration au niveau des acteurs nationaux du processus REDD+	41	23	1					65	92,31
5.3	Cette atelier a été une réussite au point de vue des résultats	29	30	3	1				63	87,62
5.4	L'encadrement technique et logistique apporté à ce travail est une des raisons de la réussite de cette atelier	22	35	5	2				64	84,06
5.5	Globalement, J'ai apprécié participer à ce travail	44	19		1				64	93,13
		<b>184</b>	<b>123</b>	<b>9</b>	<b>4</b>	<b>0</b>	<b>0</b>	<b>0</b>		
<b>CUMUL des VALEURS (Rubriques 1 à 5) :</b>		<b>792</b>	<b>604</b>	<b>81</b>	<b>17</b>	<b>15</b>	<b>1</b>	<b>0</b>	<b>###</b>	<b>88,32</b>
<b>Sommaire de l'évaluation</b>		<b>52%</b>	<b>40%</b>	<b>5%</b>	<b>1%</b>	<b>1%</b>	<b>0%</b>	<b>0%</b>		
<b>En ACCORD avec les affirmations :</b>		<b>98%</b>								
<b>Nombre de participant au séminaire :</b>		<b>65</b>								

## SATISFACTION DES PARTICIPANTS à l'ATELIERS DE PRÉPARATION DE LA STRATÉGIE REDD+ VERSION "0"





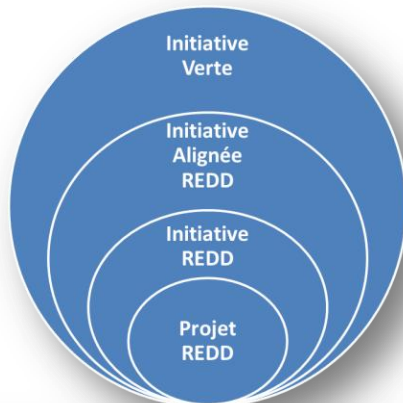
## **Final typology of REDD+ interventions in the Democratic Republic of the Congo**

**\*Note: the following information has been copied directly from a recent NC-REDD document.**

To remain consistent with the other project-framing documents, in particular the typology that had been discussed at meetings with NC-REDD officials, this Strategic Development Plan distinguishes four types of intervention that correspond to the tools envisaged by NC-REDD to apply the REDD+ activities at ground level. These types of intervention are described below:

### **The four typologies of REDD+ funding and activity**

The financing and the actions that support the REDD+ strategy in the DRC may be separated into four major typologies.



**Correspondance logique entre les quatre typologies de financement et d'action encouragées et suivies dans le cadre de la stratégie nationale REDD+ en RDC**

Indeed, for REDD+ to succeed in the Democratic Republic of the Congo, the national strategy must mobilize these four funding types, as defined below. All funding and actions associated with these four typologies should be registered in the REDD national register. The registry allows the procedures and models associated with approval, and the validation and the implementation of all the actions to be visualized. The global architecture and a first methodological ensemble are being prepared and will be available upon launching of the investment phase, so it can accompany the main action categories to be launched. It will then be progressively completed.

#### **THE REDD+ PROJECTS**

**Definition:** the REDD+ projects relate to projects and programs undertaken with the purpose of obtaining measurable REDD+ results; subject to all the international requirements of the REDD+ mechanism; funding commensurate with carbon results and giving right to the issuance of REDD+ carbon credits.

**Philosophy:** corresponds to funding and actions that demonstrate their contribution to REDD+ objectives and that are directly intended for the carbon markets.

**Financing:** The financing of REDD+ projects carry the label "REDD+". They may be enabling or sectoral.

#### **THE REDD+ INITIATIVES**

**Definition:** the REDD+ initiatives relate to projects, programs or policies undertaken with the purpose of obtaining measurable REDD+ results; subject to all the national adaptations to the requirements of the REDD+ international mechanism; funding commensurate with carbon results or on a proxy basis, and not giving right to the issuance of REDD+ carbon credits.

**Philosophy:** Corresponds to the financing and actions that mark their contribution to REDD+ objectives without directly addressing them to the carbon markets.

**Financing:** The financing of REDD+ initiatives carry the label "REDD+". They may be enabling or sectoral.

#### **THE REDD+ ALIGNED INITIATIVES**

**Definition:** the REDD+ aligned initiatives relate to projects, programs or policies undertaken with the purpose of contributing to measurable REDD+ results; subject to basic national requirements adapted from the REDD+ international mechanism; result-dependent funding or not, and not giving right to the issuance of REDD+ carbon credits.

**Philosophy:** Corresponds to financing and actions that may justify their contribution to REDD+ objectives without being subject to the same level of constraints.

**Financing:** The financing of REDD+ aligned initiatives carry the label "REDD+ aligned initiatives". They may be enabling or sectoral. The REDD+ national strategy will determine under what conditions (in particular the threshold) REDD+ funds can be used to co-finance aligned actions.

### THE GREEN INITIATIVES

**Definition:** the green initiatives are projects, programs or policies undertaken to contribute to the green development of the Democratic Republic of the Congo, and to contribute to REDD+ results, whether measurable or not; not subject to the requirements associated with the REDD+ international mechanism; result-dependent funding or not, and not giving right to the issuance of REDD+ carbon credits.

**Philosophy:** Corresponds to financing and actions that can reasonably justify their contribution to the objectives of green development in the DRC.

**Funding:** the funding of green initiatives carry the "green" label.

These types of intervention are priority interventions in the form of strategic records that summarize current issues and the results that can be expected. Within the types of intervention, the records are classified according to their sector (e.g., agriculture, forestry, etc.) and their level of priority.



## **17. ANNEX II – SUMMARY OF THE RESULTS OF THE SESA/ESMF WORKSHOP AND THE IPPF WORKSHOP OF THE REPALF PLATFORM OF INDIGENOUS POPULATIONS (MAY–JUNE 2013)**

According to REPALF's request to NC-REDD, funding has been granted so that this platform, which brings together various organizations of indigenous populations, coordinates a workshop to discuss SESA and IPPF. Other representative organizations of indigenous populations participated in the workshop which took place on June 2–3, 2013. The discussions held with the representatives of indigenous populations during the mission, the minutes of the workshop and the report of the working group on indigenous populations, displaced populations, the FPIC and the gender aspect of the workshop for the 2<sup>nd</sup> layer<sup>45</sup> highlight proposals and concerns with respect to various topics, among others:

- Clarification of the networks and organizations of indigenous populations in the IPPF, as requested in the reports of the working groups of the indigenous populations preparatory workshop for the 2<sup>nd</sup> layer consultations;
- Set up a micro-credit mechanism for sustaining agricultural actions;
- Effective participation of indigenous populations in the micro-zoning process;
- Training the leaders of indigenous populations in participatory mapping;
- Involvement of the leaders of indigenous populations in the development and conservation committees in managing land-use plans at local level;
- Respect for sacred sites;
- Draw up a national survey on Pygmies' endogenous knowledge in phytopharmacology and on the forest's intangible heritage, define indigenous populations as the owners of this data bank of intangible heritage according to UNESCO and WIPO standards in the field, and that a compensation mechanism be put in place in exchange for the endogenous knowledge of indigenous populations;
- Recruiting indigenous populations to participate in afforestation/reforestation activities;
- Strengthen the capacities of indigenous populations relating to new afforestation/reforestation techniques through training;
- Promotion of handicraft goods made by indigenous populations in the national, regional and international markets.

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<sup>45</sup> See the minutes of the preparatory workshop and the report of Working Party 4 of the consultation workshop for the 2<sup>nd</sup> circle in Annex V.

## **18. ANNEX III – MAIN CONTRIBUTIONS AND CONCERNS ON THE TECHNICAL ISSUES RELATING TO THE RIGHTS AND SAFEGUARDS RAISED DURING THE EXTENSIVE CONSULTATIONS OF THE SECOND LAYER OF STAKEHOLDERS (KINSHASA, JUNE 2013)**

A key observation pertaining to the different documents resulting from the SESA process was the potential impact of governance-related activities. The presentation of the SESA process issued by the AGRECO-Land Resources Consortium during the workshop acknowledged this observation because it has highlighted several challenges relating to governance. In the case of the Democratic Republic of the Congo, the challenge would not be to mitigate the impacts (because AGRECO-Land Resources indicates that these impacts are mostly known and foreseeable) but to ensure that the organization managing REDD+ can properly oversee the process of environmental and social management and take the decisions necessary for it to operate.

According to this approach, the challenge would therefore be to ensure that, regardless of the funding of REDD+ projects, minimum environmental and social safeguards are applied and that the process is documented and controlled. The sectoral reform process should also take into account the environmental and social impacts. The AGRECO-Land Resources Consortium noted that if it were not for the SESA process and its resulting documents, the World Bank's operational policies and the country's institutional and legal framework would not be respected, and the reforms could have significant negative repercussions. The AGRECO-Land Resources Consortium added that the ESMF describes a process to organize the capabilities required in this regard.

Other observations, concerns and findings expressed both by stakeholders and the World Bank team were discussed during the presentation by NC-REDD on the National REDD+ strategy and the presentation by the AGRECO-Land Resources Consortium, including:

- the conservation of classified forests must include local communities;
- the creation of new protected areas must apply the principle of free, prior and informed consent (FPIC);
- women are not yet included in the REDD+ national strategy;
- at local level it is necessary to identify land rights and to work on micro-zoning;
- the land law does not apply at local level: instead, the prevailing system here is where the customary chief distributes land;
- the profit-sharing mechanism must incorporate the FPIC principle;
- it is necessary to draw up an Operational Manual for the REDD+ national fund;
- in the outline relating to the management of the REDD+ National fund, it is not clear if the participation of Civil Society is envisaged;
- the approval decree of REDD+ projects excludes local communities and indigenous populations and seems to be designed for promoters with significant financial resources.

An important point was the absence of a decree regulating community forestry. Even so, the importance of this decree has been recognized by the fact that it should have been prepared with the experiences that are taking place at the local level, particularly in the context of the projects that will be supported by the World Bank's Forest Investment Program (FIP).

Finally, the major players involved in REDD+ in the Democratic Republic of the Congo had the opportunity to further understand the various instruments developed by the Democratic Republic of the Congo as part of the REDD+ process in order to ensure that environmental and social considerations are effectively taken into account. The workshop also provided consensual answers to the issues of concern raised by SESA.

During the feedback stage of the different working groups, at the end of the workshop, several proposals and challenges have also been put forward:

- the categorization of the type of REDD+ projects shall be determined by the expected impacts and not by the extent of the project's area;

- it is necessary to facilitate the incorporation of small REDD+ projects led by local and indigenous communities, as the criteria set out in the approval decree do not permit this at present;
- the confusion in the area of land ownership will be a major challenge for implementing the REDD+ strategy;
- as long as the Ministry for the Environment, Nature Conservation and Tourism (MECNT) and the NC-REDD are changing, it will be difficult to move forward on the institutional and administrative aspects of the REDD national fund;
- although there is a Thematic Coordination within NC-REDD focused on "the gender policy and the farmers' organization", women's participation is not sufficiently taken into account in spite of women being heavily affected by the REDD+;
- we should also take account of capacity building for indigenous populations but also for Civil Society organizations at the local and provincial level;
- the continuation of the consultation in the environments of the indigenous populations, as well as in the areas mainly concerned, should be consolidated;
- the indigenous populations have requested that data collection from the communities also imply subsequent feedback with them;
- the profit-sharing mechanism should apply the FPIC;
- the knowledge of indigenous populations should be enhanced with respect to forest conservation and to pharmacopeia;
- researching archaeological sites should be done with the indigenous populations' input;
- finally, in the case of indigenous populations, we must strengthen the consultation, awareness and participation approach, as well as the FPIC approach.

An exercise for consolidating all observations and proposals provided during the workshop will be conducted by the AGRECO-Land Resources Consortium and will be carried out at the end of July 2013.

## 19. ANNEX IV: SUMMARY OF THE WORK IN GROUPS: COMPILED RESULTS OF THE CONSULTATIONS OF THE SECOND LAYER (KINSHASA, JUNE 2013)

### G1

#### COMMENT BY GROUP 1

##### 1. PAGE 36

SPIAF is replaced by DFMI (Department of Forest Management Inventories)

##### 2. PAGE 52 CHAPTER 9

The Group suggested that this chapter should be more detailed

##### 3. CHAPTER 10

The correction of REDD+ in the whole document, including other frameworks relating to SESA and produced by SESA's consultant in the context of REDD+

##### 4. PAGE 53

The consultant speaks of risks without detailing them in the body of the document; it is rather the negative impacts arising from the implementation of REDD+ activities on a national scale that are detailed.

- Title: Potential impact of REDD+ activities and possible mitigation measures
- Nothing on the opportunities of REDD+ (that is known) is identified in the document.
- In the table, the group suggests adding a column that would describe "sector by the pillars of REDD+".

##### 5. PAGE 54

1. The group suggests changing the title to this: "Potential negative impacts of planned activities within the framework strategy of REDD+". In addition, the source of this information must be included (what the National REDD+ strategy is)

3. Due to the inter-disciplinary and overarching nature of the land reform and of land use planning; it would be important to specify the contribution from each sector, given the duality between modern law and customary traditions, as well as the lack of a land use planning policy (e.g., impact on land use, participatory mapping, etc.).

##### 6. PAGE 6

The restoration of protected areas that are degraded or have low biodiversity is a good initiative.

However the capitalization of protected areas for REDD+ can have an effect at national level on the carbon stock but indigenous and local communities will not benefit from this, there is a risk with the appropriate measures.

The idea behind this proposal is intended to encourage the restoration of existing protected areas, given that the exact area of some existing national protected areas is unknown, determine their status; if they are rehabilitated, this will have a consequence on the increase of carbon stock.

## 7. 10.2.7

International NGOs should work with national NGOs that have shown their ability under the State's authority to ensure the sustainability of REDD+ activities at the national level. The performance criteria should effectively be considered for a sustainable and rational management of the protected areas.

## 8. PAGE 66

10.3 harmonize figure 7 with the operational structure of the REDD+ national fund

Penultimate paragraph on page 66

Should promoters have grievances, they should follow the redress mechanisms and the complaint management system of the REDD+ project.

## 9. PAGE 71

11 Fourth paragraph

Training of various government departments, the private sector and Civil Society.

## 10. PAGE 72

Second paragraph these experts, three of them, (given the large amount of work and the vastness of the country), will increase in the future (cruising speed).

## G1

## GROUP 1

**GROUP 1: ESMF (strategic environmental and social management framework)**

1. Julien KABALAKO
2. KAMATHE KATHIONGO
3. Chouchouna Losale
4. Suzanne Linyonga
5. Alain Ngulungu
6. Patrick Bisimwa

Comments from the sub-national level	Comments FMT (World Bank)	Comments from Civil Society
<p><b>REDD project definition criteria:</b></p> <p>The criteria to define a REDD+ project and a REDD+ initiative should take into account on the one hand the complexity of the REDD+ contract and on the other hand the</p>	<p>1. The foreword includes a number of comments on the feasibility of MRV (monitoring, reporting and verification) and the carbon stock evaluation procedure on a national level, referring to "enormous doubt" with regard to them. These remarks, which appear to be the opinion of the</p>	<p>The ACRONYMS AND ABBREVIATIONS used should be set out at the very beginning of the document. Readers lose their orientation when they encounter them in the document.</p>



<p>potential of REDD+ in the Democratic Republic of the Congo.</p> <p>Moreover, the allocation of competences between Central Government and the decentralized entities as enshrined in the current Constitution of the Democratic Republic of the Congo must be observed in the course of decentralization of REDD+.</p> <p>Finally, social and environmental requirements must be incorporated in the criteria for defining REDD+ projects and initiatives by revising the current order that sets out the procedure for approving REDD+ activities. This will ensure that the Democratic Republic of the Congo takes better account of benefits other than carbon benefits.</p> <p><b>Proposal:</b></p> <p>REDD+ project: 50 ha (minimum) and 10,000 ha (maximum) of forest, generating a potential 50,000 tons of carbon/year and creating at least 50 direct local jobs (permanent paid jobs).</p> <p>REDD+ activities must be approved in advance by the respective province, which will submit them to central government for approval.</p> <p>The REDD+ approval body on a sub-national level will be determined by every provincial authority when the occasion arises.</p>	<p>author, enter into generalizations that could apply to all countries in the process of implementing REDD+ (not only the Democratic Republic of the Congo) and address issues that go beyond what could or should be included in an ESMF. As the objectives of the ESMF do not include evaluating the MRV system, this paragraph should be considerably reduced or deleted.</p>	
<p>PES (payment for environmental services) project: all initiatives to reduce deforestation and forest degradation, without any intention to generate carbon credits for sale, that directly involve more than 500 people, generate more than \$50,000 per year and cover an area greater than or equal to 50 ha.</p>	<p><b>Comment of the group:</b></p> <p>The group suggests deleting the paragraph linked to the complexity and cost of MRV.</p> <p><b>Rewording</b></p> <p>The Democratic Republic of the Congo is determined to make progress in the REDD+ process which it leads in Africa and considerable efforts are made on a national level to meet international REDD+ requirements in terms of carbon accounting, monitoring of forest cover and greenhouse gases. A National Forest Surveillance System is currently being finalized with its platform named Téra Congo. Particular</p>	<p>We agree about the form of the document.</p>

	<p>emphasis must be placed on building national capacity in this area and mobilizing resources.</p>	
<p>The Democratic Republic of the Congo is still affirming its intention to take FPIC (free, prior, informed consent) mechanisms into consideration in the implementation of REDD+ activities on a national scale. This must be stipulated in an adequate legal framework (currently being developed by indigenous peoples' support organizations and members of Parliament) to provide further safeguards for the rights of this category of Congolese people.</p> <p>The document (ESMF) therefore should further clarify the stages to be followed in particular and the definition of FPIC itself in the national context in general in order to prevent any incorrect interpretation of FPIC in the implementation of REDD+ in the Democratic Republic of the Congo.</p>	<p>2. The consultant has prepared a detailed, comprehensive table comparing national legislation with the World Bank safeguards for the Resettlement Policy Framework (IRPF). The same has not been done for the IPPF, the CHMF and the HMF. For its part, the ESMF sets out a table on pages 26-29 containing a general and non-detailed comparison between national legislation and the World Bank safeguards (except for OP 4.01 on environmental assessment) for each of the World Bank operational programs (one line per OP). In addition, the OP on the safety of dams is contained in the table but has not been triggered by the operation. Accordingly, please do the following: (a) eliminate references to the OP on the safety of dams both in the table and in the ESMF narrative text (Section 6.8) and (b) prepare a more detailed comparison between national legislation and the World Bank safeguards at least for OP 4.10 (Indigenous Peoples).</p>	<p>The table on page 2 should be as follows</p>
	<p>Comment of the group:</p> <p>We agree about cutting out the paragraphs on the OP concerning dam building, as large dam construction is not among the planned activities in the Energy pillar of the framework strategy.</p> <p>With regard to OP 4.10, see the G4 comment</p> <p>(the Democratic Republic of the Congo does not have legislation specifically related to indigenous peoples)</p>	<p>We agree with these comments</p>
<p>In order to ensure continued compliance with UNFCCC requirements on the displacement of communities, it is essential to ensure that the ESMF does not breach them by drafting an Involuntary (or voluntary) Resettlement Framework Plan that risks encouraging the displacement of communities with all the ensuing consequences.</p>	<p>3. With regard to section 6.6 (page 32), the Resettlement Policy Framework and the <del>process</del> Functional Framework are two social safeguard documents resulting from the SESA. The Process framework should be revised to ensure that it does not contradict the Resettlement Policy Framework. The latest version of the Process framework that we have contradicts the</p>	<p>No document drafted after this date, irrespective of its origin or value, has been taken into account in the environmental analysis nor in the environmental and social management framework, nor in the other special frameworks. "</p>

	IRPF by establishing that no resettlement is planned (Section 4 of the Process framework)	
	<p><b>Comment of the group:</b></p> <p>We agree with the World Bank's comment, as REDD+ does not encourage the displacement of communities or populations except in cases of extreme necessity. The correct wording should be found to harmonize the two frameworks</p>	we agree with the civil society representatives that the consultant should point out the sources or origin of some of the information.
Monitoring and taking account of environmental and social considerations in the implementation of REDD+ activities should take place on three levels: national, sub-national and local through the REDD+ Social and Environmental Risks and Co-Benefits Monitoring Committee (on a national level) and bodies to be determined in each province and project area.	<p>4. A Civil Society Monitoring Committee is proposed on page 76. It would be relevant to clarify whether this refers to the existing Environmental and Social Risk and Benefit Monitoring Committee or a new committee. In addition, a position should be allocated for it in the operational structure of REDD+ investments (page 66). These comments are important because during the round two consultations, the civil society representatives expressed a wish to be included in such a body.</p>	The word "underlying" should be added in this sentence before the word highlighted in yellow: This shortcoming in governance, which is probably one of the major underlying causes of deforestation in the country, should be treated as one of the major issues in the REDD+ process in the Democratic Republic of the Congo. Enabling activities must address these governance problems to ensure that the process does not fail on a national level.
	<p><b>Comment of the group:</b></p> <p>It would be appropriate to keep the REDD+ Risks and Co-Benefits Monitoring Committee as the current monitoring committee, but it must be revitalized.</p> <p>It is important to establish an environmental and social risk and benefit monitoring committee for REDD+ investments, in which civil society is represented.</p>	We do not agree, as governance is cross-cutting. The text remains intact
<p>A minimum payment should also be charged for obtaining access for entry in the register. The government should also consider requiring parties developing REDD+ activities to pay a small administrative charge.</p> <p>With regard to the REDD+ dispute management and settlement mechanisms, the Monitoring Committee could play a decisive role on a national level with the support of bodies to be determined for each province and project area.</p>	<p>5. The links with a FGRM (Feedback and Grievance Redress Mechanism) should be more explicit, e.g. Section 10.2.6 (page 65) proposes that protected areas should be prioritized for REDD+ investments. A FGRM should be available in cases where there are established communities in these protected areas, which is occasionally the case according to the SESA. In addition, the Monitoring Committee proposed on page 73 appears to have the role of handling grievances and monitoring, although it is a civil society structure. Further explanation is required to clarify how it can serve as a FGRM and how it could fulfill its mandate as a civil society body.</p>	Observations made during this strategic environmental and social analysis demonstrated that the particular actions performed as part of the implementation of the REDD process are well-known and do not unduly lead to major negative impacts that cannot be mitigated using current techniques and knowledge at reasonable cost and that does not cast new doubt on the performance or profitability of the investments. However, the analysis casts doubt on the capacity of the country's institutions to implement an environmental and social management process of this scale without substantial support.

	<p><b>Comment of the group:</b></p> <p>The monitoring committee is still established under the SESA and SEIA (Social and Environmental Impact Assessments). This committee is in existence and continues to monitor the development of the project and approve the phase reports. It is not authorized to register the grievances of communities. See the Approval Order</p>	<p>OK</p>
<p>obtaining accreditation to ensure that the developers are serious and to recover administrative costs as applied by many administrations around the world.</p>	<p>6. In terms of the conditions required for preparing an Indigenous Peoples Plan (page 101), the ESMF and the IPPF specify what they mean by a major indigenous population structured as a community: "the presence of an encampment or hamlet in which at least 200 people live on a permanent basis, i.e. for more than 6 months per year or if the indigenous population accounts for more than 30% of the total population affected by the investment, irrespective of the number of people affected. If this is not the case, no specific document will be prepared, the indigenous population will be treated in the same way as the local population and will enjoy the same rights in accordance with the established principles and procedure." A request was made in the previous series of comments to clarify this classification. World Bank policy does not establish any such standard as "a sufficiently large population structured as a community" or any threshold concerning the number of indigenous people above which an Indigenous Peoples Plan must be prepared. On the contrary, OP 4.10 states that indigenous populations can be very small in number and the small size of the population can make them even more vulnerable. It is therefore imperative to correct these sections, both in the ESMF and in the IPPF.</p>	<p>This support is even required before the REDD process to ensure quick and precise enforcement of the framework environmental law. Firm political commitment is required and the technical and financial partners with an interest in the protection of the environment, forest biodiversity and natural resource extraction should firstly confer and concentrate on drafting the tools required to enforce this law.</p>
	<p><b>Comment of the group:</b></p> <p>We agree with the comments of the World Bank. This</p>	<p>The term "tools" should be kept</p>

	<p>classification in the ESMF, which contradicts policy 4.10, should be eliminated</p>	
<p>The definition of a REDD+ project holder should be considered in the revised version of the approval order</p> <p>All public or private entities legally established in the Democratic Republic of the Congo and local communities and indigenous populations who have requested and obtained local community forests who meet the conditions and criteria set out in this order and its annexes</p>	<p>7. With regard to the "Action Plan for Restricting Access to Resources" (pp. 107-108), the ESMF stipulates as follows: "It should first be emphasized that the drafting of an Action Plan for Restricting Access to Resources is basically a participatory process involving all affected stakeholders. In a way it is akin to overall negotiations on possible restrictions and on finding alternatives to these restrictions. An individual and precise survey of damages can only be envisaged in the event of failure of this process of negotiation <u>without individual compensation</u>." However, this is not what is specified in OP 4.12 and Article 26 <i>et seq.</i> of its Annex A. The purpose of this Framework is to describe the process by which potentially affected communities will participate in planning restricted access to legally designated parks or protected areas. In this case, in order to ensure the success of the process it is essential to ensure the participation of the affected population in the design of the restrictions, setting admissibility criteria and mitigation measures and authorizing activities to improve their means of subsistence, or at least to restore them. The Policy does not at any time indicate that there will be a focus on "an individual and precise survey of damages" once a collective negotiation process has concluded</p>	<p>The 3 inspection panels and the reports of the advisory panel on the environmental and social management of the Pro-Routes project, which identify major shortcomings in the environmental and social management of the project despite the resources invested, clearly demonstrate that this mode of operation is not sustainable and that there is probably some ulterior motive in the governance problems.</p>
	<p>Comment of the group:</p> <p>it is essential to comply with the standards for handling grievances linked to the REDD+ project (Approval Order). The Policy does not at any time indicate that there will be a focus on "an individual and precise survey of damages" once a collective negotiation process has concluded</p>	<p>OK</p>
<p>Capacity building should also be provided for local stakeholders, even more than for the administration in order to ensure improved implementation of the CHMF (Cultural Heritage Management Framework).</p>	<p>8. With regard to the Cultural Heritage Management Framework, page 109 of the document emphasizes that: "We believe that in most cases there will not be any disturbances to cultural or religious sites and assets." This sentence should be deleted, partly because it is not substantiated. At the end of the list of sites and monuments protected by the legislation of the</p>	<p>The current ESMF establishes a system that could be applied with or without implementing the framework law. However, it appears illogical that a process on this scale, for which the competent ministry has to ensure enforcement of the framework environment law, could start up without the latter being able to regulate its operation</p>

	Democratic Republic of the Congo, the CHMF (page 27) emphasizes that other sites of archaeological, historical or natural interest, including caves, spectacular waterfalls and sites dedicated to the traditions of indigenous people, may have not yet been identified	
Facilities should be granted to communities under PES (payment for environmental services) schemes	<p>Comment of the group:</p> <p>We agree with the World Bank because other archaeological sites have not yet been discovered!</p>	Framework environment law
The project must comply with the REDD anti-corruption mechanisms developed by NC-REDD with UNDP as part of the UN-REDD/DRC program.	9. This consultation requires some further explanation: it will be on a sub-national level and special materials in different languages will be provided, etc.	The strategic environmental assessment showed that the generally recognized rate of deforestation for the Democratic Republic of the Congo (less than 0.25%) could be greater due to the fact that forest degradation is difficult to measure using the satellite imaging used for these assessments. The analysis also showed that with a linear degradation rate of 0.25% linked to population growth estimated at 3%, the forests of the Democratic Republic of the Congo could disappear by 2080.
compliance must be ensured with the legal procedures against corruption and with the grievance management procedures link to REDD+ projects refer to the national REDD Register and fund, NC-REDD corruption risks, preliminary standards, etc., to be added in the wording	<p>Comment of the group:</p> <p>We agree with the World Bank's comment. The integrated IEC (Information, Education and Communication) communication plan should be introduced.</p>	OK
<ul style="list-style-type: none"> <li>The REDD project must include the FPIC approach and must have a</li> </ul>	10. The new section (13.7) contains a section dedicated to FPIC (page 100). The FPIC process is centered on	<p>Climate change</p> <p>As previously mentioned, REDD+ is a mechanism</p>

<p>clear benefit sharing mechanism. The FPIC approach must be observed in consultations with communities and in defining income sharing and grievance management mechanisms.</p> <p>The options put forward by the consultant who performed a preliminary study on income sharing must be analyzed by the Government in order to ensure that a clear, flexible, efficient and participatory income sharing mechanism emerges from REDD+ in the Democratic Republic of the Congo.</p>	<p>video recordings of several activities, as is the case for the IPPF and the IRPF. We recommend that the main issues and concerns raised in the course of the FPIC Process should also be set out in writing (in addition to the video recordings) in order to facilitate the review process if there is a grievance or a dispute to be examined under the Feedback and Grievance Redress Mechanism (FGRM), particularly those affecting traditional and official rights to land and resources. This should be noted in this section</p>	<p>primarily designed to combat climate change. Climate change is caused by increases in greenhouse gas (GHG) emissions into the atmosphere. This increase in emissions is itself due largely to human activity. Global responsibility for greenhouse gas emissions for most part rests on the shoulders of the developed countries of Europe and North America: it is these countries that have emitted most of the greenhouse gases into the atmosphere over the last 150 years, partly through their industrial, agricultural and forestry activities. The main greenhouse gas is carbon gas, or carbon dioxide; there are other types of greenhouse gases, e.g. methane; however, REDD+ essentially addresses the problem of carbon dioxide.</p>
<p>the project must set out clear benefit sharing mechanisms the preliminary studies related to income sharing should be conducted in more depth. Experience in benefit sharing from other countries, etc. see Brazil, ACRE state</p>	<p>Comment of the group:</p> <p>We agree with the World Bank that oral proceedings should be avoided in order to prevent backtracking and contradictions in the forthcoming days, taking into account the duration of the investment.</p>	<p>OK</p>
<p>It would therefore be beneficial for the REDD+ project approval order to be revised accordingly by a combined ad hoc committee (government, civil society, potential investor, etc.)</p>	<p>11. Page 8 stipulates that "The current environmental and social management framework (ESMF) was prepared following the environmental and social analysis of the REDD+ process conducted in 2012. "The year 2013 should be added</p>	<p>These ecosystems greatly contribute to the balance of greenhouse gas concentrations in the atmosphere. Global forests (vegetation and soils) contain more than 45% of the world's carbon.</p>
<p>delete</p>	<p>Comment of the group:</p> <p>We agree with these comments.</p>	<p>OK</p>
<p>The provinces have precisely defined powers with regard to the management of the land under their jurisdiction, which should be taken into account in the implementation of REDD+</p>	<p>12. Section 4.3 makes reference to the Conference of the Parties in Durban (2011) as the last conference of the UNFCCC. As we have already emphasized, this must be updated and the Conference of the Parties at Doha (2012) should be taken into consideration. The same comment applies to page 59 (General comments)</p>	<p>Moreover, tropical forests such as those in the Democratic Republic of the Congo are particularly important for carbon sequestration. Due to the prevailing favorable conditions, they have luxuriant vegetation which contains up to 50% more carbon per hectare than temperate or boreal forests (what is the reference for this assertion???)</p>
<p>Comment of the group:</p> <p>The distribution of powers between the State and the provinces is precisely established by the Constitution of 18 February 2006 and the Decentralization Act (2011).</p>	<p>Comment of the group:</p> <p>We agree with the World Bank that Warsaw should be updated and taken into account</p>	

<p>Since the Constitution establishes exclusive or shared powers on two administrative levels, it follows that all investments requiring the use of the land should obtain approval on the provincial level before the request is addressed to the national level.</p>	<p>13. Once again, considerations linked to gender parity have not been discussed, despite the fact that we asked for this to be done in the previous series of comments. We have added a number of proposals in relation to this (see pages 57, 80, 83, 88 and 104)</p>	<p>Moreover, tropical forests such as those in the Democratic Republic of the Congo are particularly important for carbon sequestration. Due to the prevailing favorable conditions, they have luxuriant vegetation which contains up to 50% more carbon per hectare than temperate or boreal forests (what is the reference for this assertion???)</p>
<p>Delete</p>	<p>Comment of the group: We agree with the World Bank that gender should be included in the text. See UNDP study on the integration of gender in REDD+</p>	<p>OK</p>
<p>Table 6. Overall list of potential REDD sub-activities Table 7. Potential negative impacts arising from the implementation of REDD+ activities with mitigation measures.</p> <p>The comments from the sub-national level on these tables are included in the relevant tables.</p>	<p>14. The table beginning on page 55 includes a new column concerning mitigation measures. A number of mitigation measures require appropriate monitoring and control on the part of the responsible government bodies. As already mentioned in the ESMF, preparing and introducing regulations is not enough. They must also be enforced. This could be further emphasized in the table of mitigation measures, making reference to particular shortcomings in capacity building and the corrective action required</p>	<p>In general, the English term MRV should be translated into its French equivalent, MNV</p>
<p>on a subnational level</p>	<p>Comment of the group: We agree with the World Bank that ineffective law enforcement should be taken into account and the capacity of multiple stakeholders should be increased.</p>	<p>OK</p>
<p>Perennial crop production (see table)</p>	<p>15. Section 12.1 should be corrected to the effect that the Congress or National Assembly votes on legislative initiatives, not the government</p>	<p>Study conducted in 2010-2011 under REDD5</p>
<p>Comment of the group: We agree with the proposal from the sub-national level. Promotion and popularization of sustainable agriculture should also be added</p>	<p>Comment of the group: reference should rather be made to Parliament (Senate and National Assembly)</p>	<p>Redd+</p>
<p>Improved carbonization techniques</p>	<p>16. The table comparing national legislation with the World Bank safeguards (pages 26-29) states that "The procedures of the Bank shall be used; moreover</p>	<p>This same report establishes causes such as demographic growth and aspects</p>



	international REDD requirements require implementation of the FPIC process. Accordingly, these are the minimum procedures to be implemented. "However, the Cancun safeguards and principles (UNFCCC) do not explicitly require implementation of FPIC processes. The Cancun safeguards require, <i>inter alia</i> , respect for the knowledge and rights of indigenous peoples and local communities, full and effective participation of the stakeholders (particularly indigenous peoples and forest-dependent communities) and taking the UNDRIP (United Nations Declaration on the Rights of Indigenous Peoples) into account. A reference to the commitment of the government to apply FPIC would be more precise and significant	
Promotion of improved carbonization techniques.	<b>Comment of the group:</b> In addition to the Cancun Safeguards and those of the World Bank, the Government of the Democratic Republic of the Congo has made a commitment to include the FPIC approach in its implementation of REDD+.	OK
Biofuel production (jatropha, sugar cane, palm oil) Biogas from landfills Methane from Lake Kivu	17. The sources of the various figures should be identified in all cases. Occasionally the reader does not know whether they have been provided by the government or drafted by the consultant	<b>Policy 4.10 refers to indigenous "Populations" and not "peoples"</b>
Delete	<b>Comment of the group:</b> Please include the sources of the highly relevant figures	OK
Large-scale manufacture and distribution of improved cooking stoves	18. The acronyms used should be written out in full, preferably in a table of acronyms. In the case of REDD+, the text refers both to REDD and REDD+. Except when explaining the development of the REDD+ concept, REDD+ should be used consistently throughout the document. In addition, it should be made clear whether REDD+ is a masculine or feminine term.	<b>The reference on Page 32 should be OP 4.37 SAFETY OF DAMS, NOT JUST DAMS</b>
<b>We agree with the comments from the sub-national level, but the Promotion of alternative energy (micro-power</b>	<b>Comment of the group:</b> We agree that the meaning of REDD+ should be consistent	OK

stations, wind energy, solar energy, biogas, etc.) <b>should also be added</b>		
Planting and assisted natural regeneration		Page 33, point 6.9. The reference in BP 17.50 should be INFORMATION DISCLOSURE POLICY, not just "INFORMATION POLICY"
Afforestation and assisted natural regeneration		Information policy
Community forestry		Page 36: wherever reference is made to SPIAF (permanent forest inventory and management department), point out that it has been replaced by DIAF (Department of Forest Management Inventories)
Promulgation and enforcement of the community forestry act.		OK
Land-use planning		On page 37, indicate that the framework environment law does not refer to the GEEC (the Environmental Studies Group of the Congo)
Land allocation and occupation.		OK
Micro-zoning and land tenure security		No source has been provided for the table on page 39
Micro-zoning, participatory mapping and land tenure security. (identification, clarification and registration of land rights)		Indicate the source
Negligible potential impacts of the activities mentioned		Page 47: Approval order: a footnote should be entered pointing out that civil society is calling for the approval order to be revised or abolished as it does not make provision for communities and NGOs to be REDD+ project holders. This order has not yet obtained the consensus of all stakeholders
Support for the national policy on intentional births.		The order establishing the approval procedures for REDD+ projects is currently under review
Research		
Research and Development Research institutions should be strengthened		
Trips to exchange experience between stakeholders		

involved in the REDD+ project		
Exchange of experience and lessons learned		
Project area including the flight zone of less than 1000 ha		
In accordance with the Constitution, which grants such an area of land to the Project Holder, this type of project nevertheless requires an ESIA.		
the activities as a whole use less than 30% of the total area		
of the project zone		
Projects which have at least 2 of the following characteristics together		
Two		
<ul style="list-style-type: none"> <li>More than 500 families affected by/directly involved in the project</li> </ul>		
or		
Between 200 and 500 families affected by or directly involved		
in the project		
<b>Table 8. Main potentially negative impacts by type of REDD+ activity and practicable mitigation measure</b>		
measures		
practicable		
Land reform, FPIC, macro et micro zoning		
Development of national and sub-national development schemes, FPIC, land reform		
Introduction of regional development plans and macro and micro zoning		
Assess the relevance of whether or not to rehabilitate		

abandoned plantations		
<del>Rehabilitation: there are abandoned plantations that must be reallocated and rehabilitated</del>		
Development of the national and sub-national development scheme, drafting of the Development Act		
Land reform, the bulletin the %%		
recognizing local land rights and complying with the African Union guidelines on land tenure security for local communities and indigenous peoples		
Introducing suitable plant protection systems		
suitable		
Development and zoning plan, monitoring of production sites		
Land zoning, developing local land use plans and enforcing the law		
<b>REDD+ decentralization</b> <ul style="list-style-type: none"> <li>• Sub-national REDD committee</li> <li>• Sub-national REDD executive secretariat</li> <li>• Local management committees</li> <li>• Local monitoring and evaluation committees</li> </ul>		
The establishment of other organizations should be avoided. Establishing a suitable institutional architecture for the new phases of the REDD+ process in the Democratic Republic of the Congo (investment and implementation phases), promoting close cooperation between the Provincial Environment Coordinator and the REDD+ Provincial Focal Point (PFP), consisting on a local level of the Monitoring and Evaluation Committees		
Income sharing:		

30% to central government and 70% to the province		
Constitutional reform: 40% to central government and 60% to the province.		
Out of the province as a whole, 30% should remain on a provincial level and 70% to local entities in the form of projects. It is out of this 70% that the project holder can have 70%, and 30% for the State		
Out of the province as a whole, 40% should remain on a provincial level and 60% to the baseline entities.		
For the land sector, clarify and secure land tenure;		
identify, clarify and register land rights		
All public or private entities legally established in the Democratic Republic of the Congo along with local communities and populations		
Peoples		
At least 80% of the population in the project area must be positively affected by the REDD project		
60		
At least 100-50 hectares for a micro project and at least 40.000-5.000 ha for a macro project		
civil society, private sector)		

G2

GROUP COMMENTS 2:

**GROUP II**

**Document 3: Process framework**

N	FMT (World Bank) comment	Civil society comment										
1	<p><i>Objective of the process framework</i>                      In Section 1.2 on "objective of the Process framework", the document points out that:                      "It [the process framework] is an instrument that must be developed when a project supported by the World Bank could result in restricted access to the natural resources present in the areas of operation of the investment, leading to negative consequences on the means of existence of displaced people."                      OP 4.12 relates to involuntary restriction of access to legally designated parks and to protected areas, leading to negative consequences on the means of existence of displaced people. As a result, it should be noted that the areas affected by the investment must correspond to legally designated parks and to protected areas.</p> <p><b>Opinion of the Group</b>                      We agree with the World Bank with regard to the enforcement of national provisions on protected areas and the application of the involuntary resettlement framework.</p>	<p>The ACRONYMS AND ABBREVIATIONS used should be set out at the very beginning of the document. Readers lose their orientation when they encounter them in the document.</p>										
2	<p><i>Community forestry concessions</i>                      The new section 5.3.3 "Concept of Local Community Forestry Concessions" emphasizes that:</p> <p>"The bad management currently in evidence in small-scale forestry operations is partly attributable to these local community forestry concessions which are poorly defined and regulated (sic). These operations, which do not follow any of the basic management regulations set out in the forestry code (sic) currently account for most forestry operations in the country."</p> <p>This is an interesting assertion, given that community forestry concessions are still not legally binding in the Democratic Republic of the Congo. According to the RRI (Rights and Resources Institute) among other sources, delimitation by order of the process of granting local community forestry concessions is still an unresolved issue.</p> <p>If the required regulations are still being debated, as appears to be the case, the text must be corrected to take account of the fact that the legal concept of community forestry concessions does not yet exist.</p> <p>In a related observation, the assertion that small operations account for most forestry operations in the country, depending on the way local community forestry concessions are implemented, does not appear to be a logical conclusion.</p> <p><b>Opinion of the Group</b>                      The group considers that this comment should be reworded. The government must speed up</p>	<p><b>Page 2</b>                      The table should be as follows:                      The table below is preferable, because the OP for the IPPF is World Bank OP 4.10 on indigenous peoples:</p> <table border="1" data-bbox="1146 842 2033 1125"> <thead> <tr> <th data-bbox="1146 842 1294 1061"><i>Pest and Pesticide Management Framework (PPMF)</i></th> <th data-bbox="1294 842 1442 1061"><i>Cultural Heritage Management Framework (CHMF)</i></th> <th data-bbox="1442 842 1697 1061"><i>Indigenous Peoples Planning Framework (IPPF)</i></th> <th data-bbox="1697 842 1832 1061"><i>Process framework (FF)</i></th> <th data-bbox="1832 842 2033 1061"><i>Involuntary Resettlement Policy Framework (IRPF)</i></th> </tr> </thead> <tbody> <tr> <td data-bbox="1146 1061 1294 1125">OP 4.09</td> <td data-bbox="1294 1061 1442 1125">OP 4.11</td> <td data-bbox="1442 1061 1697 1125">OP 4.10</td> <td data-bbox="1697 1061 1832 1125">OP 4.12</td> <td data-bbox="1832 1061 2033 1125">OP 4.12</td> </tr> </tbody> </table>	<i>Pest and Pesticide Management Framework (PPMF)</i>	<i>Cultural Heritage Management Framework (CHMF)</i>	<i>Indigenous Peoples Planning Framework (IPPF)</i>	<i>Process framework (FF)</i>	<i>Involuntary Resettlement Policy Framework (IRPF)</i>	OP 4.09	OP 4.11	OP 4.10	OP 4.12	OP 4.12
<i>Pest and Pesticide Management Framework (PPMF)</i>	<i>Cultural Heritage Management Framework (CHMF)</i>	<i>Indigenous Peoples Planning Framework (IPPF)</i>	<i>Process framework (FF)</i>	<i>Involuntary Resettlement Policy Framework (IRPF)</i>								
OP 4.09	OP 4.11	OP 4.10	OP 4.12	OP 4.12								

	<p>the process of introducing a regulatory framework for small-scale forestry operations (local community forest concession order and small-scale forestry decree).</p>	
<p>3</p>	<p><i>Free, Prior, Informed Consent (FPIC)</i>                  The process framework describes a process for implementing and documenting consent on the basis of video recordings (pages 25-26). However, as the legal basis for implementing FPIC procedures has not been established in the Democratic Republic of the Congo, it should be borne in mind that OP 4.12 and other potentially applicable safeguard policies refer to consultation standards and processes in different terms. In order to avoid confusion, video recording and related processes must also be presented in these terms.</p> <p>For example, according to OP 4.12, para. 7, in situations involving involuntary restrictions on the access of populations to legally designated parks and to protected areas, the type of restrictions and the type of measures required to mitigate the negative impacts must be established with the participation of the displaced people at the time when the project is designed and implemented. This requirement in the OP is currently not taken on board and should be set out more explicitly.</p> <p><b>Opinion of the Group</b>  <i>Although there are still no regulations on FPIC, we are aware that experience exists on the aforementioned FPIC in the country the results should be put to use. Practical guidelines have been developed by international organizations including the United Nations, which require harmonization and should be used as a basis for regulating FPIC in the Democratic Republic of the Congo.</i></p>	<p><b>Page 4</b>  <b>Insert the words shaded in yellow and delete the words shaded in red:</b>                  Cases of loss of access to resources are listed in the pre-feasibility phase in 10 stages, the main ones being as follows:                  ☐ Listing the forms of land use in a community meeting and obtaining quantitative and qualitative information on these forms of land use.                  ☐ The information is located on the <b>participatory</b> zoning map of the planned activities.                  ☐ The availability of the same resources in areas outside the area of operations must <b>is be</b> checked.                  ☐ An initial assessment of the losses is produced.                  ☐ The analysis is approved with the stakeholders.                  ☐ Acceptable compensation measures are established with the stakeholders.                  ☐ <b>Finally an assessment is made of</b> the estimated (monetary) value of the losses suffered by the population as a result of implementation of the investment <b>is firstly established</b> along with the approximate cost of mitigation measures agreed by consensus.                  ☐ These costs are included in the project cost calculation and not as a benefit for the populations from the project, as this compensation is for loss of revenue and not an additional benefit.</p> <p><b>Opinion of the Group</b>  <i>No important comments or observations</i></p>
<p>4</p>	<p><i>Institutional capacity evaluation (Section 8)</i>                  "The process of selecting expertise and training as defined in the ESMF is enough to overcome the management shortcomings in the existing process framework.                  On the other hand, socio-economic studies required to prepare Action Plans for Restricting Access to Resources should be subject to special training for NGOs and possible REDD+ investment sponsors. "</p> <p>However, the previous comments prepared by the World Bank for the documents linked to the SESA by AGRECO - LAND RESOURCES precisely emphasize that the capacity building activities in the ESMF targeted NGOs and project sponsors, leaving the capacity of the government largely neglected. The process framework is again supported by these two stakeholders: NGOs and project sponsors; discussion on the capacity building needs of the Government to enable it to cope with the impacts of the Natural Resource Management Plan is still scanty or non-existent. Institutional needs in terms of capacity building should be emphasized more strongly in the Process framework, the resettlement policy framework and the ESMF.</p> <p><b>Opinion of the Group</b>  <i>The group agrees with the comment of the bank and suggests that capacity building for members of the public administration is essential to ensure the implementation of the developed</i></p>	<p><b>Page 4</b>                  For the implementation of REDD+, the process framework contributes a methodology for implementation, information and negotiation with populations where REDD+ activities could lead to loss of access to resources.</p> <p><b>Opinion of the Group</b>  <i>Operation to be carried out throughout the document (page 7, 11</i></p>

	<p>frameworks.</p>	
<p>5</p>	<p><i>Costs related to the Process framework (Section 10)</i></p> <p>It should be clear that apart from the working team, the policy development process described in paragraph 2 will provide funds to support informed participation and the commitment of civil society and rural community groups will potentially be affected by this order.</p> <p><b>Opinion of the Group</b>  <i>The group fully shares the opinion of the Bank</i></p>	<p><b>Page 4</b>  Cases of loss of access to resources are listed in the pre-feasibility phase in 10 stages, the main ones being as follows:  <input type="checkbox"/> Listing the forms of land use in a community meeting and obtaining quantitative and qualitative information on these forms of land use.  <input type="checkbox"/> The information is located on the <b>participatory</b> zoning map of the planned activities.  <input type="checkbox"/> The availability of the same resources in areas outside the area of operations must <b>is be</b> checked.  <input type="checkbox"/> An initial assessment of the losses is produced.  <input type="checkbox"/> The analysis is approved with the stakeholders.  <input type="checkbox"/> Acceptable compensation measures are established with the stakeholders.  <input type="checkbox"/> <b>Finally an assessment is made of</b> the estimated (monetary) value of the losses suffered by the population as a result of implementation of the investment <b>is firstly established</b> along with the approximate cost of mitigation measures agreed by consensus.  <input type="checkbox"/> These costs are included in the project cost calculation and not as a benefit for the populations from the project, as this compensation is for loss of revenue and not an additional benefit.</p> <p><b>Opinion of the Group</b>  <i>Corrections also pointed out by the team</i></p>
<p>6</p>	<p>The Resettlement Policy Framework and the process framework are two social safeguard documents resulting from the SESA.  The Process framework should be revised in order to ensure that it does not contradict the Resettlement Policy Framework.  The latest version of the Process framework that we have contradicts the IRPF by establishing that no resettlement is planned (Section 4 of the Process framework)</p> <p><b>Opinion of the Group</b>  <i>The group notes that this comment has been bypassed, as the last document applies operational directives on resettlement.</i></p>	<p><b>Page 5</b>  the taking of complete images dated and localized by a video camera and the agreements themselves, signed by the parties, will not be admissible: these videos serve as proof and <b>retrace the</b> history of the negotiations.  During the feasibility phase and on the basis of agreements negotiated in advance, the sponsor must prepare an action plan for restricting access to resources, the minimum content of which is pre-defined. The points in this plan must be included in the logical framework of the investment and in the results grid.  Documents signed by stakeholders, meetings of minutes in writing with lists of participants, consent for the investment, the expected benefits and the way they are shared are not enough to demonstrate that a FPIC process has been implemented. We believe that one of the least expensive, most direct and efficient ways to check whether a FPIC process of adequate quality has been properly implemented is to take video footage. Entire meetings can be recorded on video, showing who was represented, whether meetings with local and indigenous populations were conducted in a serious manner, the discussions held, the points of view presented and the positions adopted in the commitments, all at a very low cost.</p> <p><b>Note that video material cannot take the place of signed paper documents; video material or a CD supplements paper documents. Video recordings confirm, but cannot</b></p>



		<p>replace written agreements; CDs can corrode and communities do not have the means to preserve them for long periods.</p> <p><b>Opinion of the Group</b>  <i>Video material can be falsified and altered with time. Communities do not have the means to preserve these tools. Apart from the CDs mentioned above, the agreements, minutes of meetings, lists of participants and photos should be taken into account.</i></p>
7		<p><b>Page 5</b>  <b>Cumbersome sentence to be reworded:</b>          Enabling and crosscutting action which, in most cases, involves development or reviewing policies, legal texts, plans, etc., should be subject to a strategic environmental evaluation process which, in order to meet the requirements of the process framework, must:</p> <p><b>Opinion of the Group</b>          Enabling and crosscutting action which, in most cases, are require development or the review of policies, legal texts, plans, etc., should be subject to a strategic environmental evaluation process which, in order to meet the requirements of the process framework, must:</p> <p>In compliance with law 11/009 of 9 July 2011 on the basic principles for environmental protection.</p>
8		-
8		<p><b>Page 5</b>          Arranging an independent audit of activities resulting from the implementation of previous process frameworks is also recommended in order to gain a better understanding of their level of application in the Democratic Republic of the Congo and to be able to amend the existing process framework in the light of problems encountered on other projects.</p> <p><b>Opinion of the Group</b>          Arranging an independent audit of activities resulting from the implementation of previous process frameworks is also recommended in order to gain a better understanding of their level of application in the Democratic Republic of the Congo and to be able to amend the existing process framework in the light of problems encountered on other projects.</p>
9		
9		<p><b>Page 6</b>          In its current state of preparation (29 October 2012), the proposed structure for the national framework strategy (version 1.1) is as follows:</p> <p><b>Group</b>  <i>Insert the term framework to ensure that the document is specific enough.</i></p>
10		<p><b>Page 6</b>  <b>Table: quote the source of this information</b></p>

		<p><b>Group</b> <i>Opinion of the Kisantu group</i></p>
1	1	<p><b>Page 9</b> REDD+ activities, which will in principle prohibit any physical displacement of populations living in and around areas where REDD+ projects will be implemented This is a basic socio-environmental principle of REDD; however, the implementation of a number of project components could lead to restricted access of local populations, in particular indigenous populations whose survival depends on certain natural forest resources.</p> <p><b>Group</b> REDD+ activities, which will in principle prohibit any physical displacement of populations living in and around areas where REDD+ projects will be implemented This is a basic socio-environmental principle of REDD; however, the implementation of a number of project components could lead to restricted access of local populations, in particular indigenous populations whose survival depends on certain natural forest resources.</p>
2	1	<p><b>Page 13</b> Forest classification: references to the forestry code must be quoted <b>Opinion of the Group</b> <i>Articles 10 and 11 et seq of the forestry code.</i></p>
3	1	<p><b>Page 14</b> In conclusion of this analysis of the Code, we again emphasize the importance of the zoning process as an imperative first step before allocating any new forestry concessions. The reason is that local and indigenous populations are seeing their main income generating activities (hunting and gathering) increasingly placed under control and their main alternative activity (agriculture) prohibited in concessions in protected areas. All zoning processes should therefore take the interests of local and indigenous populations into account.</p> <p><b>Opinion of the Group</b> <i>Forest zoning, which is part of the overall planning process, is in progress and the government is committed to implementing this work in relation to its commitments to the international community through the economic governance matrix of May 2013.</i></p>
4	1	<p><b>Page 14-15:</b> Place the quoted articles in a text box</p>
5	1	<p><b>Page 15</b> <b>In the sentence below, the opinion of every group should be stated instead of merely making a reference: opinion of the government; opinion of civil society; opinion of private organizations; opinions of international organizations:</b> The controversy surrounding this process reveals major differences of opinion between (i) the government, (ii) civil society and (iii) private and international organizations. It also appears that other models applied in other countries (particularly in Cameroon and Tanzania) could be viable for the Democratic Republic of the Congo, although they have their own shortcomings.</p>

		<p><b>Group</b> At this stage, legal texts to organize community forestry have not yet been signed and published.</p>
6	1	<p><b>Page 16</b> <b>Operational Policy (OP) and Bank Procedure (BP), although interconnected, are not one and the same concept.</b> <b>Opinion of the Group</b> The consultant's wording is correct, as each policy is accompanied by procedures. The onus is rather on the government to adopt safeguard policies for enforcing the framework environment law</p>
7	1	<p><b>Page 17</b> <b>With regard to the institutional framework, overall consensus should be obtained on the role of the UNDP as a temporary agency to manage funds; this choice was not unanimous among all stakeholders.</b> <b>Opinion of the Group</b> The group considers that the choice of UNDP as a temporary fund management agency should be limited in time with an obligation to transfer management to a national organization on the basis of a road map established by consensus.</p>
8	1	<p><b>Page 23: Insert what is highlighted in yellow:</b> This first phase in the design of an investment will be successful if it is accepted on the basis of a new entry in the REDD+ register. This is one of the most important phases with regard to the list of cases of loss of access to resources, the free, prior and informed consent (FPIC) of local and indigenous populations and sharing benefits and/or payment for environmental services (PES).</p>
9	1	<p><b>Page 24</b> <b>FPIC The comment highlighted in yellow should be borne in mind</b> <b>Opinion of the Group</b> Documents signed by stakeholders, meetings of minutes in writing with lists of participants, consent for the investment, the expected benefits and the way they are shared are not enough to demonstrate that a FPIC process has been implemented. We believe that one of the least expensive, most direct and efficient ways to check whether a FPIC process of adequate quality has been properly implemented is to take video footage. Entire meetings can be recorded on video, showing who was represented, whether meetings with local and indigenous populations were conducted in a serious manner, the discussions held, the points of view presented and the positions adopted in the commitments, all at a very low cost. Note that video material cannot take the place of signed paper documents; video material or a CD supplements paper documents. Video recordings confirm, but cannot replace written agreements; CDs can be corrupted and communities do not have the means to keep them for long periods.</p>
	2	<p><b>Page 28: consensus must be reached on a managing agency, because the choice of</b></p>

0		<b>UNDP was not made by consensus</b> <i>The group considers that the choice of UNDP in this initial phase of implementation of the national REDD fund was made at the discretion of the funding partner, which is in Norway.</i>
<b>Comments and corrections by the group.</b>		
1	<b>Page 5</b>	Evaluating the risks involved in the texts or the enforcement procedures that depend on them in terms of restricted access to resources or to cultural or religious assets/heritage, etc., and preparing an explicit document proving that this analysis has been made. This document must be made public to demonstrate that this kind of analysis has been performed.
2	<b>Page 5</b>	The cost of the process framework is mainly included in that of the ESMF, except for the external audit and the support provided to the government for introducing a national policy on managing access restrictions resulting from public or private investments. The cost of meeting these special needs is \$210,000 <b>Proposal of the group</b> <i>The group considers that the source and the calculation method used to fix this amount should be specified</i>
3	<b>Page 7</b>	Apart from enabling action, REDD will set guidelines and will finance investments of different types involving activities that will reduce deforestation and forest degradation. These investments may be public or private.
4	<b>Page 9</b>	REDD+ activities which will <b>prohibit</b> lead to any physical displacement of populations living in and around the areas of implementation of REDD+ projects. This is a basic socio-environmental principle of REDD; however, the implementation of a number of project components could lead to restricted access of local populations, particularly indigenous populations whose survival depends on certain natural forest resources. <b>Group</b> <i>Insert "lead to" instead of "prohibit"</i>
5	<b>Page 10</b>	The references to constitutional articles must be placed in a text box <b>Opinion of the Group</b> <i>This comment is relevant. Wherever there are texts of legal provisions, they should be placed in text boxes to distinguish them from comments and interpretations.</i>
6	<b>Page 11</b>	The Process framework must ensure that these items are observed in the implementation of REDD+
7	<b>Page 11</b>	To our knowledge, the government has not introduced any policy to ensure that all investments in the country can demonstrate that they comply with Article 56 of the Constitution, the interpretation of which could be debatable according to whether it is read by an investor or a land managing agent. <b>Group</b> <i>In terms of public policy, it should be pointed out that the Democratic Republic of the Congo has adopted law N° 11/009 of 9 July 2011 on the fundamental principles concerning environmental protection which, in its Articles 21 to 24, stipulates an obligation that all project holders must perform an impact evaluation before its implementation. Enforcement measures related to this law. The environmental and social management frameworks developed for the implementation of REDD projects could serve as a temporary framework pending finalization of the development of these enforcement measures.</i>

8	<p><b>Page 11</b> Any articulation of Congolese land law introduced by the law of 20 July 1973 is based on the proclamation of the principle that all the lands belong to the Congolese state. This principle is enshrined in the Constitution as previously mentioned and taken up by law N° 73-021 of 20 July 1973; by Article 53 of which "the ground is the exclusive, inalienable and imprescriptible property of the state"?</p> <p><b>Group</b> <i>Article 9 of the current Constitution refers to the idea of the sovereignty which the state exercises on the land and the subsurface.</i></p>
9	<p><b>Page 11</b> Accordingly, the land assets of the State include a public domain and a private domain. The public domain comprises all land allocated for public use or service, while the private domain comprises all other land. Land in the public domain is inalienable and non-transferable. In other words, it cannot be the object of a concession or extraction rights unless it is officially re-designated.</p>
0	<p><b>Page 13</b> According to a definition sent by the Minister for the Environment, Nature Conservation and Tourism to the UNFCCC:</p> <ul style="list-style-type: none"> <li>□ Minimum 30% tree cover</li> <li>□ An area of 0.5 ha and</li> <li>□ a minimum tree height of 3 m</li> </ul> <p><b>Group</b> <i>\$\$A reference should be given to this MECNT definition of forest: which conference (session)? etc. A letter filed under N° 5094/CAB/MIN/ECN-T/JEB/O8 of 22 October 2008 should be found.</i></p>
1	<p><b>Page 29</b> An independent audit of the implementation of the existing process frameworks in different projects in the country is a preliminary step before implementation of the current process framework. The cost of this independent study is estimated at \$90,000.</p> <p><b>Group</b> <i>The group calls for the document to refer back to the detailed budget</i></p>

## GROUP II

### II. Document 4: **Involuntary Resettlement Framework Plan (IRFP)**

N	Group comments	Opinions from the workshop
1	<p><b>General comment</b> The "involuntary" concept should be emphasized throughout the text. The group noted that reference is made to the "involuntary" concept at the beginning of the document, while towards the end of the text reference is only made to the rehabilitation policy framework. Case of the SRP (Summary Resettlement Plan) instead of PSRI, Resettlement Action Plan instead of PARI, etc.</p>	
2	<p><b>Page 4</b> In the executive summary, replace "technical secretariat" with "National REDD Coordination Office". With regard to training for the benefit of NGOs and project sponsors.</p>	

3	<b>Page 5</b> Executive Summary: replace the term "national regulations" with "national legislation"	
4	<b>Page 9</b> <b>Insert the words shaded in yellow and delete the words shaded in red:</b> Objectives Appropriate measures must be carefully planned and implemented <b>accordingly, with a view</b> to avoid involuntary resettlement becoming a basis for damaging long-term consequences, impoverishment and environmental damage. With this in mind, the objectives of resettlement must be as follows:	
5	<b>Page 19</b> <b>Insert the words shaded in yellow and delete the words shaded in red:</b> Public participation of local communities. This is considered as an integral part of the concept phase and <b>of project implementation</b> . Public participation ensures that all affected individuals and households are kept informed of what is happening, in order to be able to express their opinion;	
6	<b>The specific comments referred to by other groups with regard to FPIC (free prior informed consent) also find their place in this framework.</b>	
7	<b>In conclusion, the group considers that the involuntary resettlement framework will have to contribute to the current land reform to adapt it to the context.</b>	
8	<b>Harmonizing this framework with the process framework</b>	<b>Change the title: involuntary resettlement plan framework (IRPF)</b>

G3

GROUP 3

Comments from the Sub-National level	Comments from the FMT	Comments from Civil Society
<b>Point of view of the group:</b> No comments in the document on pests and pesticides These are set out in the ESMF summary	<ul style="list-style-type: none"> <li>In Section 7.1 1 (pages 30–31), it is important to emphasize that capacity building in the various areas of pesticide management requires increased capacity on the part of government officials and project promoters. The latter are explicitly mentioned; capacity building for government personnel can be deduced from the text, but it is not categorical enough. Please include a reference to the government personnel to clarify this.</li> </ul>	<b>Point of view of the group:</b> No comments concerning pests and pesticides

**Point of view of group 3:**

- Group 3: The group accepts the comment and suggests that pesticide management capacity building specifically or particularly benefits the Ministry of the Environment experts and those of the Congolese Control Office (OCC).
- In the new Section 7.1 3 and up to the end of the document, the Pest and Pesticide Management Framework (PPMF) explains the different stages in REDD+ investments and how they relate to the Pest and pesticide Management Plan. The responsibilities of the different stakeholders, particularly project promoters and product suppliers, are described for the different phases. Nevertheless, the core roles and functions of government bodies holding responsibilities in the area of pesticide management in the various phases of REDD+ are not known. The Framework should make this clearer, for example, by specifying the involvement of the competent authorities in the schedule of REDD+ projects and the review and monitoring of the Pest Management Plan jointly with the "Technical Secretariat" mentioned above.
- **Point of view of group 3:** The role and competences of the different government bodies involved in pesticide management will be specified in the measures for enforcing the law, setting out basic principles related to agriculture in such a way as to separate national prerogatives from centralized powers.
- The various schedules and calendars will be established on a participatory and inclusive basis with the various stakeholders in the course of implementation of the project
- Pages 34–35 of the PPMF cover pesticide management and page 21 lists several pesticides used by farmers, but there are no explicit PPMF criteria for classifying acceptable agrochemical products. In addition, page 25 highlights the fact that there is no list of authorized persons in the country and the table on page 26 emphasizes that there are currently no criteria for classifying acceptable agrochemical products.

**Point of view of the group:**

While waiting for pesticide management application measures and a list of products banned by the Democratic Republic of the Congo, we suggest that reference should be made to the lists produced by international conventions ratified by the Democratic Republic of the Congo and those of the United Nations System Agencies.

According to OP 4.09 para. 7, the Bank does not finance preparations listed in WHO classes IA and IB or class II preparations if (a) the country does not impose restrictions on their distribution and use; or (b) they may be used by or be accessible to non-expert personnel, farmers or other people lacking training and the equipment and plant for handling, storing and correctly applying these products. This also complies with Congolese Law No 11/022 of December 24, 2011 on the basic principles concerning agriculture and the FAO International Code of Conduct on the distribution and use of pesticides. Consequently, the PPMF should emphasize that the Democratic Republic of the Congo must develop a registration system for chemicals and pesticides in order to classify acceptable agrochemical products and the acceptable quantity of ingredients in their formulation in accordance with the WHO classification mentioned above, along with infrastructures in which products can be registered before domestic use, taking steps to ensure that every pesticide is approved before being made available for use. Building of the related capacity of government personnel on this matter should also be promoted.

The purpose of the Pest and Pesticide Management Framework is to ensure oversight for the preparation of pest and pesticide management plans as part of the project funded by the Bank. In this connection, the promoter must meet the requirements of the pest and pesticide management framework and plan that it will have prepared, whatever the level of knowledge, control or management on the part of government agents. A budget is allocated for the Pest and Pesticide Management Framework to appoint a consultant specialized in supporting the technical secretariats to ensure that the Pest and Pesticide Management Plans to be prepared are professionally evaluated. The reputation of the World Bank depends on this and indeed analysis of the national situation makes it possible to establish a process to limit the related risks.

Government support in this connection should come from the enabling activities under REDD+ if applicable.



**Point of view of the group**

On completion of approval of the Pest and Pesticide Management Framework by the stakeholders, the government of the Democratic Republic of the Congo will have to appropriate it by issuing a supporting decree. These requirements will hence be considered national requirements.

**Document track change**

**What structure is involved?**

**The technical secretariat.**

**Page 12 Has this phase been completed?**

**It has already been corrected**

Page 29. Numbering to be resumed (7.1.1.)

Point of view of the group: Please determine the name of the body that will monitor the implementation of this framework (REDD, Technical Secretariat, REDD coordination, REDD Technical Secretariat). Replace all these terms with **"National REDD Coordination"**

Page 29. Point 7.1.2 Investment pre-feasibility study.

**Point of view of the group**

Justification must be provided for pesticide orders, for approval by the competent authorities. This request must demonstrate that the use of the ordered

	<p>product can be traced.</p> <p>It is imperative that the Administration produce a prescriptive and classified list (ISO) of all products used in the Democratic Republic of the Congo.</p> <p>From the point of view of pesticide storage:</p> <p>Opinion of the Group</p> <p>Pesticide packing lists, shipping records, entry and exit records must be kept and presented to the Administration control authority.</p>	
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G4

GROUP 4

**CULTURAL HERITAGE MANAGEMENT FRAMEWORK (CHMF)**

CIVIL SOCIETY	WORLD BANK/FMT	SUB-NATIONAL LEVEL	OPINIONS FROM THE WORKSHOP
<p><b>Civil Society comment 1:</b> The document should start with a list of initials, abbreviations and acronyms</p> <p><b>Opinion of the group:</b> the group agrees with the Civil Society representatives, as it is an obligatory standard to include a list of abbreviations and acronyms</p>	<p><b>World Bank comment 1:</b> The Feedback and Grievance Redress Mechanism (FGRM) is mentioned on page 21 but further details are not given. As already requested, interconnections with the FGRM should be more explicit.</p> <p><b>Opinion of the Group:</b> The reference given on page 21 on complaints management cannot be found in the CHMF document; however, as the World Bank suggested for the Indigenous Peoples Planning Framework, it is also important to deal with the management of grievances in the CHMF</p>	<p>All comments from the provinces relate to the Environmental and Social Management Framework</p>	
<p><b>Civil Society comment 2:</b></p>	<p><b>World Bank comment 2:</b></p>		

<p>The numbering in the table on page 2 on World Bank policies is incorrect; due to copying and pasting, confusion has arisen between the CHMF (OP. 4.11) and the IPPF (OP 4.10)</p> <p><b>Opinion of the group:</b> The group agrees with the Civil Society representatives that this error was due to copying and pasting</p>	<p>Several sections of the CHMF focus on the poor institutional context on various levels involved in cultural heritage conservation and management in the Democratic Republic of the Congo It is therefore clear that institutional capacity building measures are required to ensure appropriate management of cultural resources. However, Section 7 of the CHMF states that, "In principle, the implementation of the CGPM does not require any particular expertise, except in the case of major excavation works forming part of an investment. "Instead of this, we suggest that the text should be edited according to the following lines included in Section 7: "The team in charge of the environmental assessment must analyze the capacity of the institutions involved in implementing the recommended identification and mitigation measures. This analysis generally covers different aspects, including the degree of familiarity of the cultural authorities with the REDD+ project cycle in the Democratic Republic of the Congo and the environmental and cultural heritage assessment procedures. If required, capacity building activities will be developed to ensure the proper progress of the mitigation measures. "</p> <p><b>Opinion of the Group:</b> The group agrees with the wording of Section 7 proposed by the World Bank, as the implementation of the CHMF requires scientific expertise in cases of excavation and flooding,</p>		
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	but it is important to note that local and traditional knowledge should be used and brought to the fore in the implementation of the CHMF		
<p><b>Civil Society comment 3:</b> The source of the table on page 7 should be shown: Geist and Lambin model and <b>Qualitative study on the causes of deforestation and forest degradation in the Democratic Republic of the Congo, August 2012, Published by UN-REDD and the GTCR [the REDD climate working group]</b></p> <p><b>Opinion of the Group:</b> the group agrees with the Civil Society representatives, as the sources referred to by a document must be indicated for the sake of intellectual honesty and scientific rigor</p>	<p><b>World Bank comment 3:</b> In addition, a budget line, which is currently missing, should be allocated to Section 9 for institutional capacity building activities to ensure the proper course of subsequent cultural heritage management activities as specified in the section on capacity building (Section 7). <b>Opinion of the Group:</b> an additional budget is required for institutional capacity building as suggested by the World Bank</p>		
<p><b>Civil Society comment 4:</b> On page 10, the bibliographic reference of this definition should be quoted: Dealing with the protection of cultural heritage, defined as movable or immovable objects, sites, structures, groups of structures, natural features and landscapes with an archaeological, paleontological, historical, architectural, religious or aesthetic significance or other cultural aspects in the Democratic Republic of the Congo in the context of REDD+, may be perceived with skepticism or lack of interest. <b>Opinion of the Group:</b> the group agrees with the Civil Society representatives, as the sources</p>	<p><b>World Bank comment 4:</b> According to OP 4.11, para. 12, the following sentence on page 20 should be edited as follows: "In accordance with national legislation and customs and traditions, confidential information relating to cultural resources and sites must not be disseminated." <b>Opinion of the Group:</b> the group agrees with the spirit of the World Bank's point and suggests the following wording: "In accordance with national legislation and customs and traditions, confidential information relating to cultural resources and sites must not be disseminated."</p>		

referred to by a document must be indicated for the sake of intellectual honesty and scientific rigor			
<p><b>Civil Society comment 5:</b> Page 13: References to articles in the Constitution should be placed in a text box</p> <p><b>Opinion of the Group:</b> the group agrees with the Civil Society representatives that the articles should be boxed in a table</p>	<p><b>World Bank comment 5:</b> In the newly drafted executive summary (2.1), the CHMF could better describe how the population will be consulted in the five different stages of the planned REDD+ projects. Information shared with the populations, a list of people who have met and the interviews are currently mentioned, but this does not correspond to the more comprehensive idea of a consultation process supported by the World Bank in para. 11 of OP 4.11 and promoted by the FCPF (Forest Carbon Partnership Facility)</p> <p><b>Opinion of the Group:</b> the group agrees with the World Bank and considers that the consultation process with the populations must comply with paragraph 11 of OP 4.11 and the executive summary must already refer to the consultation methodology that will be used in the five selected sites</p> <p><b>The group suggests creating a section in the body of the text to address the issue of the national consultation plan</b></p>		
<p><b>Civil Society comment 6:</b> References must be given on pages 14 to 15 to the paragraph in OP 4.11 or BP 4.11</p> <p><b>Opinion of the Group:</b> the group agrees with the Civil Society representatives, as references to the paragraphs of these Policies/Procedures of the Bank</p>	<p><b>World Bank comment 6:</b> <b>Proposed formatting observations:</b> A detailed French edition of the document is still pending. We have introduced several amendments, but this does not eliminate the need for an in-depth review.</p>		

<p>makes it easier for readers to find the quoted phrases</p>	<p>As already emphasized in previous comments, the acronyms should be written out in full at least on first mention. A table of acronyms should be prepared.</p> <p><b>Opinion of the Group:</b> the group agrees with the World Bank that the document requires a systematic review to eliminate the numerous typographic errors, to correct grammatical errors and to remove the numerous instances of Belgian wording in the text. Moreover, it is important for the document to start with a list of initials, abbreviations and acronyms</p>		
<p><b>Civil Society comment 7:</b> On page 16: it must be shown that the UNDP will play a temporary role over a period not exceeding two years; it has been engaged to transfer skills to a national government agency</p> <p><b>Opinion of the Group:</b> the group agrees with the Civil Society representatives, as the UNDP must work quickly to build the capacity of national institutions so that they can accept the transfer of financial trustee skills</p>			
<p><b>Civil Society comment 8:</b> A group of reviewers must be assigned the task of correcting the numerous grammatical errors and the numerous instances of Belgian wording in the text before the document is finally approved</p> <p><b>Opinion of the Group:</b> the group agrees with the Civil Society representatives and considers that a</p>			

<p>team of three reviewers must be established by NC-REDD to incorporate the comments and to edit the phrasing of the documents before the national approval workshop takes place</p>			
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**GROUP 4**

**INDIGENOUS PEOPLES PLANNING FRAMEWORK (IPPF)**

CIVIL SOCIETY	WORLD BANK	PROVINCES	OPINIONS FROM THE WORKSHOP
<p><b>Civil Society comment 1:</b>                      The methodology contributing the FPIC Guidelines must be set out in the document with the following simplified stages:</p> <ul style="list-style-type: none"> <li>- Repeated visits to the communities</li> <li>- Capacity building and community structure</li> <li>- Socio-economic assessment</li> <li>- Anthropological assessment</li> <li>- Participatory field mapping</li> <li>- Simplified impact assessment</li> <li>- Detailed community information on the project</li> <li>- Drafting and scheduling the project together with the community</li> <li>- Approval of the project by the community</li> <li>- Negotiation of a memorandum of understanding with the community</li> <li>- Conclusion of the agreement with audiovisual evidence and signed documents testifying to the free prior informed consent (FPIC) of the community.</li> </ul>	<p><b>World Bank comment 1:</b> The IPPF has not developed a table to compare national legislation with World Bank safeguards, but this was nevertheless done for the Resettlement Plan Framework (RPF). A comparative table should be prepared showing the safeguards at least for this World Bank Policy (Indigenous Peoples).</p> <p><b>Point of view of the group:</b> With regard to this comment, the group believes that there are land law provisions on the delocalization of populations, although there is no law specifically on indigenous peoples in the Democratic Republic of the Congo; we cannot therefore make a comparison between the relevant national legislation and the World Bank Safeguard policies.</p>	<p><b>REDD project comment 1:</b>                      Registration criteria for REDD investments</p> <p><b>Point of view of the group:</b> (See the group working on the Environmental and Social Management Framework, section 8.2.1)</p>	

<p><b>NB: Work must begin quickly on harmonizing methodological guidelines for FPIC implementation</b></p> <p><b>Opinion of the Group:</b> The group agrees with the Civil Society representatives, especially as there is still no harmonized FPIC implementation methodology in our country. <b>This work must be implemented by the Government in cooperation with the stakeholders to define the stages to be followed to ensure FPIC.</b></p>			
<p><b>Civil Society comment 2:</b></p> <p>REPALEF (Network of Indigenous and Local Populations for the Sustainable Management of Forest Ecosystems in the Democratic Republic of the Congo) is a platform comprising two major networks, i.e., LINAPYCO (National League of Indigenous Pygmy Associations of the Congo) and DGPA (dynamic network of indigenous people's groups); ROPY (Network of Indigenous Pygmy Organizations) is already part of the DGPA and references to it should be removed from the document</p> <p><b>Opinion of the Group:</b></p> <p>The group agrees with the Civil Society representatives</p>	<p><b>World Bank comment 2:</b></p> <p>- Links with the Feedback and Grievance Redress Mechanism (FGRM) should be strengthened, as suggested by the World Bank. Section 6.3 deals with the accreditation phases for REDD+ investments and how they relate to the IPPF; links should have been developed with the FGRM, particularly for this section.</p> <p><b>Point of view of the group:</b> the group agrees with the World Bank that section 6.3.6 should be inserted, particularly as the projects could give rise to conflicts in the course of implementation</p>	<p><b>REDD project comment 2:</b></p> <p>Projects essentially subject to environmental and social guidelines without environmental impact studies</p> <p><b>Opinion of the Group:</b> (See the group working on the Environmental and Social Management Framework, section 8.2.1)</p>	
	<p><b>World Bank comment 3:</b> The basics of the commitment to indigenous peoples. World Bank safeguard policies call for informed participation and recognition of the preferences of indigenous peoples. For example, World Bank OP 4.10 on indigenous peoples and OP 4.01 on environmental assessments both refer to the need to consult local populations, including indigenous peoples, in the course of environmental assessments for projects concerning or within the areas of influence of their communities and their lands. The overall objective is to uphold the development</p>	<p><b>REDD project comment 3:</b></p> <p>Decentralization, conflict management, joint benefit sharing</p> <p><b>Opinion of the Group:</b> see the team working on the ESMF</p>	



	<p>initiatives based on the needs and aspirations of indigenous populations. It is therefore important to emphasize that the Bank only provides finance if the results of free, prior and well-founded consultation give rise to mass support for the project on the part of the affected indigenous community. It should be remembered that the IPPF does not apply separately from the ESMF and they must be considered simultaneously applicable; in this respect, the IPPF simply sets out the ESMF approach in more detail with regard to the indigenous population. We believe that the ESMF is clear about the consultation process and finally it is up to the World Bank to decide whether or not to finance the project on the basis of the documents submitted and the analysis made of them.</p> <p>Similarly, the document should draw more directly from the principles and guidelines set out in the application framework of OP 4.10. One clear example concerns building the organizational capacity of indigenous communities. Representatives of indigenous peoples explicitly requested support to strengthen their representative organizations during the round two consultation workshop.</p> <p><b>Comment of the group:</b> The group agrees with the World Bank. It is essential to obtain the free, prior informed consent of indigenous peoples before even embarking on a feasibility study; the stages of obtaining this FPIC must be clearly set out in methodological guidelines that must be included as an annex in the IPPF and the Involuntary Resettlement Framework, etc. Organizational capacity building for indigenous peoples must be considered a phase in obtaining their free, prior informed consent.</p>		
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	<p><b>World Bank comment 4:</b></p> <p>The IPPF should be more precise in terms of the capacity building needs of government bodies responsible for implementing REDD+ activities that involve or exert an impact on indigenous peoples. Section 4.9 discusses the institutional framework, focusing on the organizations and platforms of indigenous peoples. No mention is made of the governmental institutional framework.</p> <p><b>Point of view of the group:</b> the group accepts the comments of the World Bank and believes that, the government must play a key role through NC-REDD in the institutional framework (section 4.9), supporting the organizations of indigenous peoples and Civil Society organizations.</p>		
	<p><b>World Bank comment 5:</b></p> <p>REDD+ is not a training or capacity building program. Almost all ministries will be involved to a greater or lesser extent in REDD+ implementation. The organizational layout of the management of the process could have been relevant at the time the different frameworks were drafted, but possibly no longer now. It is currently impossible to establish which divisions in which ministries need capacity building with regard to the IPPF. It will be easier to target this capacity building at the level of each project and when we know whether the IPPF must be applied or not</p> <p><b>Point of view of the group:</b> the group agrees with the World Bank, but suggests that an adequate institutional framework should be introduced (see ESMF) to manage the implementation of the IPPF instead of waiting for matters to be sectioned on a case-by-case basis according to each project</p>		

	<p><b>World Bank comment 6:</b></p> <p>Resumption of the analysis of the capacity of the government bodies up to the audit of the IPPF under the Forest and Nature Conservation Project does not fulfill the conditions set out in para. 1.e of OP 4.10, Annex C. The IPPF should discuss the institutional arrangements (including capacity building if applicable) for screening the activities supported by the project, evaluating their effects on indigenous peoples, preparing the indigenous peoples plan and the mechanism for handling grievances.</p> <p><b>Point of view of the group:</b></p> <p>The group agrees with the World Bank and believes that the audits under the IPPF can take place in the framework of all REDD projects, not just the Forest and Nature Conservation Project, which concludes in 2015</p>		
	<p><b>World Bank comment 7:</b></p> <p>REDD+ is not a project but rather a policy. It cannot even be considered as a program, as it does not have a budget, an implementation schedule, or any detailed objective. From an institutional point of view, the strategic environmental assessment only concerns whether this scheme, itself created due to the lack of any structure at the time of implementation of the SESA (Strategic Environmental and Social Assessment) includes a capacity building component.</p> <p><b>Point of view of the group:</b></p> <p>The management of the National REDD Fund may serve as a framework for IPPF implementation.</p>		
	<p><b>World Bank comment 8:</b></p> <p>The Demography section of the IPPF now includes an ambitious range of public health activities, including but not restricted to monitoring the child mortality rate, committing to a vaccination campaign for indigenous populations and increasing the number of</p>		

	<p>health centers in areas populated by indigenous peoples. These activities were put forward by indigenous people themselves during the round two consultation workshops. However, it is still no clearer now than before how these public health gains can be achieved with the limited resources and objectives of a national REDD+ program. Mitigation measures should be realistic and limited to those that are possible and justified with regard to the demographic component of the national REDD+ strategy.</p> <p>It is fully agreed that indigenous peoples perceive REDD+ as a way to settle all their problems. However, it should be borne in mind that every time there is a project in an area inhabited by indigenous peoples, the latter will take note of the gap in terms of health care and will provide enhanced support under the indigenous peoples plans. It is up to the project, not the strategy, to provide finance as their development progresses. It should be remembered that the REDD+ strategy in the Democratic Republic of the Congo is a policy and not a program and that in accordance with OP 4.10 annex C, establishing a budget is not planned for IPPFs, unlike for the annex B indigenous peoples plans. Although there is a budget under the IPPF, this is at the insistence of the World Bank.</p> <p><b>Point of view of the group:</b></p> <p>The group agrees with the World Bank. Normally, as the World Bank says, the Indigenous Peoples Development Plan (IPDP) is budgeted, as it is on a project scale, but an IPPF is a policy document that must nevertheless bring out the aspirations of indigenous peoples in a realistic manner without a large number of unreasonable ambitions. The group believes that REDD+ is an opportunity to solve health care, education and other problems of indigenous peoples, but</p>		
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	unreasonable ambitions should be avoided, bearing in mind that REDD+ is primarily intended to achieve recognition of the land rights of communities and the related advantages.		
	<p><b>World Bank comment 9:</b></p> <p>The final budget contains figures that are not backed up by any other justification or explanation. In the previous series of comments, we also emphasized that the budgeted amounts should explicitly include support for the participation of indigenous peoples and rural communities, including the participation of women.</p> <p>Throughout the IPPF, we have included a number of suggestions on how to pay enhanced attention to gender parity in accordance with FCPF guidelines.</p> <p><b>Point of view of the group:</b> the group agrees with the suggestion of the World Bank, but believes that the budget in the IPDP should be clear and detailed, particularly with regard to the participation of women and young people, which is a major issue in the REDD+ process. The budget must include sections that include clearly distinguishable activities concerning women and young people.</p>		
	<p><b>World Bank comment 10:</b></p> <p>The participation of and consultation with indigenous peoples in public and private initiatives linked to sustainable forest management that have potential to affect their means of subsistence or their rights can be strengthened in several key sections (see the remarks in the IPPF, e.g., on page 28 or in the table in Section 9).</p> <p><b>Point of view of the group:</b> capacity building for indigenous peoples' organizations must accompany the implementation of all activities (actions) planned in the pillars of the framework REDD+ strategy (see the various tables in section 9)</p>		
	<b>World Bank comment 11:</b>		

	<p>As requested in the previous series of comments, the justification and the context for adopting FPIC in the Democratic Republic of the Congo instead of consultations should be mentioned in brief. This is important, as the standard of the Bank is free, prior informed consent. For example, the preliminary FPIC Directives prepared by WWF could be quoted as a precedent, along with the type of institutional support envisaged and the legal FPIC policy in the Democratic Republic of the Congo.</p> <p><b>Point of view of the group:</b> the group agrees with the World Bank and requests that all stakeholders that have developed FPIC Methodological guidelines (WWF, DRC, FPP, FSC, CI, Congolese Civil Society, etc.) harmonize the development of uniform methodological guidelines for ensuring free, prior informed consent.</p>		
	<p><b>World Bank comment 12:</b></p> <p>The document still contains numerous grammatical errors that make it difficult to understand in some cases. Detailed editing is still pending.</p> <p><b>Point of view of the group:</b> the group agrees with the World Bank and recommends that the entire IPPF document should be reviewed by a core of experts to correct the linguistic and grammatical errors before the approval workshop</p>		
	<p><b>World Bank comment 13:</b> As already emphasized in previous comments, acronyms should be written out in full at least on first mention. A table of acronyms should also be prepared. It is important to understand that these documents are intended to facilitate decision-making. Its contents must be accessible to the non-expert public, including members of indigenous populations that may be consulted.</p> <p><b>Point of view of the group:</b></p>		

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	This comment from the World Bank is highly relevant; a list of acronyms and abbreviations must be drafted at the very beginning of the document.		
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## 20. ANNEX V - TERMS OF REFERENCE FOR THE COMPILATION SESSION OBSERVATIONS AND RECOMMENDATIONS RESULTING FROM CONSULTATIONS WITH STAKEHOLDERS ON THE PRELIMINARY VERSIONS OF THE STRATEGIC ENVIRONMENTAL AND SOCIAL ASSESSMENT (SESA) OF THE REDD+ PROCESS IN THE DEMOCRATIC REPUBLIC OF THE CONGO



Kinshasa, January 27, 2014

### Context and Justification

The SESA is a participatory process to identify potential risks (positive and negative) ensuing from the implementation of REDD+ on a national scale so as to propose measures to avoid, mitigate or, if applicable, to compensate for potentially damaging effects while strengthening measures to maximize the multiple advantages.

Finalization of the SESA is one of the main deliverables expected, not only for fulfilling the criteria used in the Readiness Package (R-Package), but also and particularly to meet the commitments allocated by the Government of the Democratic Republic of the Congo through the National Preparation Plan for REDD+ (Readiness Preparation Proposal – RPP).

Improved versions of the Environmental and Social Management Framework (ESMF) and of specific frameworks, depending on the activities planned under the REDD+ Strategy, were developed by a company named AGRECO-LAND RESOURCES after the round two consultation workshop in June 2013 for stakeholders involved in REDD+ in the Democratic Republic of the Congo.

In compliance with World Bank Safeguard Policy 4.01 on environmental assessment, precisely in its paragraph 16 and 17 and in the information dissemination policy, NC-REDD organized consultations in all provinces in the Democratic Republic of the Congo in order to:

- inform sub-national stakeholders about the latest progress made by REDD+ on a national level and about the REDD+ safeguards in particular;
- present a non-technical summary of the SESA in order to collect the opinions and considerations of sub-national stakeholders on these interim versions;
- find out about the perceptions among different social strata about relevant issues raised by the SESA and by the round two workshop held in June 2013, particularly concerning the decentralization of REDD+, income sharing mechanisms, grievance handling mechanisms, etc.

In order to lend credibility to the results, the comments recorded during these sub-national consultations and those provided by other stakeholders involved in REDD+ — in this case the FMT (Facility Management Team) of the World Bank's Forest Carbon Partnership Facility — must be compiled by a small group of people, including representatives of the stakeholders, to ensure improved transparency in the process of handling the comments.

Precisely in this context, NC-REDD intends to organize a 3–4 day meeting with delegates representing the stakeholders at the beginning of February 2014 at Kisantu in the Bas-Congo province.



## **Objective**

In general, the compilation meeting will be an opportunity for participants to analyze the comments and observations recorded during the sub-national consultations and those sent by the FMT of the World Bank's Forest Carbon Partnership Facility in order to supplement the versions of the safeguards submitted for consultation.

More particularly, the compilation meeting will provide an opportunity for participants to achieve the following objectives:

- To establish a transparent participatory framework for compiling and processing comments received;
- To analyze and decide on the relevance or grounds for the recommendations and comments received, bearing in mind the diverging interests inherent in a multi-stakeholder process such as REDD+;
- To review the versions developed by the consultant on the basis of comments "approved" by the participants;
- To reply to comments considered "unacceptable" by the participants.

## **Methodology**

NC-REDD will send a message to the different target stakeholders (Government, GTCR [the REDD climate working group] and REPALEF) to allow them to send the names of their representatives to the compilation workshop.

Electronic and paper copies of the frameworks developed by the consultant and of the comments received from the sub-national level and from the FMT will be sent to the participants.

A concise summary of the SESA and its main results will be drafted by NC-REDD to keep the participants informed.

Participants will then be divided into six sub-working groups, one for each topic: ESMF, Process framework, Pest and Pesticide Management Framework, IRFP (involuntary resettlement framework plan), IPPF and CHMF.

Each sub-group will analyze the comments received in detail before putting forward amendments to the initial documents. This will take place during the first two days.

Finally, each sub-group will present its results for discussion and approval in a plenary session. Each subgroup will have to present its proposed amendments to the initial document on the basis of the comments processed and put forward replies to the comments judged unacceptable.

The documents approved by the participants will be sent to the World Bank to obtain a declaration of non-objection before they are approved in a national workshop.

## **Expected results**

The main results expected from the workshop to compile the comments received during the sub-national consultations on the revised versions of the Strategic Environmental and Social Assessment and those of the FMT of the World Bank's Forest Carbon Partnership Facility can be summarized as follows:

- Comments and observations received are analyzed and processed;
- A transparent participatory framework is established for compiling and processing received comments;
- Diverging interests of stakeholders involved in REDD+ in the Democratic Republic of the Congo are taken into account when processing and analyzing the comments received;
- The versions developed by the consultant are revised on the basis of comments received and approved by the participants;
- Replies to comments considered "unacceptable" are formulated and approved by the participants.

## **Participants**

1. NC-REDD: 6 + 1 driver = 7
2. MECNT (Ministry for the Environment, Nature Conservation and Tourism) 2 + 1 driver = 3
3. GTCR (the REDD climate working group) 6
4. REPALEF 6
5. Ministry of Agriculture: 1
6. Ministry of Energy: 1
7. Ministry of Land: 1
8. FIP (Forest Investment Program): 1

## 21. ANNEX VI - SUB-NATIONAL CONSULTATIONS ON THE IMPROVED VERSIONS OF THE ENVIRONMENTAL AND SOCIAL SAFEGUARDS OF THE REDD+ PROCESS IN THE DEMOCRATIC REPUBLIC OF THE CONGO: TERMS OF REFERENCE

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### I. Context

The Democratic Republic of the Congo has recently reached a decisive stage with its presentation last November in Doha, Qatar of its framework strategy and the Terms of Reference of the National REDD+ Fund. Chapter 4 of this framework strategy entitled "**Strategic pillars for REDD+ in the Democratic Republic of the Congo**" concisely describes the activities planned in the implementation of REDD+ in the Democratic Republic of the Congo. These activities are grouped in seven (7) pillars as described below: Agriculture, Energy, Forestry (sustainable management of forest carbon stocks, conservation of forest carbon stocks and increasing forest carbon stocks), Governance, Demography, Planning and Land Development.

Clearly, the development of all these activities could generate both negative and positive effects on the populations and on the environment. This is how sections 6.3 and 6.4 of chapter 6 of the framework strategy entitled "**Implementation Mechanisms for REDD+ in the Democratic Republic of the Congo**" clearly present the approach observed by the Democratic Republic of the Congo in integrating socio-economic and environmental dimensions in order to avoid, mitigate or, if applicable, compensate for potentially damaging effects, while strengthening measures to maximize the multiple advantages ensuing from implementation of REDD+ on a national scale.

In order to set up a REDD+ program that contributes effectively to the sustainable development of the country, the Democratic Republic of the Congo is conducting relevant discussions around two main projects in particular: the REDD+ National Social and Environmental Standards of the Democratic Republic of the Congo, managed by UNEP as part of the UN-REDD Program, and the Strategic Environmental and Social Assessment (SESA) supported by the World Bank Forest Carbon Partnership Facility.

*The common approach to environmental and social safeguards for the multiple implementing partners provides the World Bank and other partners in the implementation of the Forest Carbon Partnership Facility with a common risk management and quality assurance platform during the process of preparation for REDD+, using World Bank safeguard policies as minimum acceptable standards. The purpose of this common approach is to ensure compliance with the applicable safeguards through the Strategic Environmental and Social Assessment (SESA) and the related Environmental and Social Management Framework (ESMF).*

The SESA contributes to ensuring compliance with the applicable safeguards by integrating the main environmental and social considerations relevant to REDD+, including those to which the applicable safeguards apply. It also establishes a participation platform for key stakeholders, including indigenous peoples and local communities that depend on forest resources, during the REDD+ preparation process.

An essential product of the SESA is an environmental and social management framework (ESMF). The ESMF is a framework for managing and mitigating the environmental and social risks and impacts of future investments (projects, activities and/or policies and regulations) related to the implementation of the REDD+ strategy of the country. The ESMF provides a direct link to the applicable safeguard standards.

For the purposes of the latter, an international company named AGRECO-LAND RESOURCES was appointed in December 2011 on the basis of competitive tendering to coordinate a participatory process of Strategic Environmental and Social Assessment for the entire REDD+ process in the Democratic Republic of the Congo. The assignment began in February 2012 with the presentation of the new methodology to implement the SESA, given the fact that the national REDD+ strategy did not exist at that time.

In this new methodology, the consultant put forward three levels of consultation partners to the Members of the REDD+ Social and Environmental Risks and Co-Benefits Monitoring Committee in the Democratic Republic of the Congo:

- a) People directly involved in developing the national REDD+ strategy in the Democratic Republic of the Congo. In general, these are Members of Thematic Coordination (TC) Groups, who are delegates of the different stakeholders involved in REDD+ in the Democratic Republic of the Congo.

- b) People not directly involved in developing the national REDD+ strategy, but who have a decisive role to play in its implementation. In particular, these are the General Secretaries of key sectoral ministries for REDD+ (Agriculture, Energy, Land, Finance, Hydrocarbons, Mines, etc.) and parties involved in developing REDD+ activities.
- c) Local and indigenous communities on a local level considered as recipients of potential benefits of REDD+ or who could suffer possible undesirable effects arising from the nationwide implementation of REDD+ activities.

Consultations lasting more or less 40 days were organized by the consultant in March–April 2012 in order to combine the greatest possible number of stakeholders in the proposal for Version 0 (V.0) of the Framework Strategy and particularly in identifying possible undesirable risks linked to its implementation, while putting forward mitigation measures (V.0 of the ESMF).

In September–October 2012, consultations were organized in six pilot provinces in order to collect the opinions and considerations of local and indigenous communities on the possible risks identified and mitigation measures proposed by first level members to address them.

On the basis of these consultations, the consultant drafted the interim versions of the SESA (SESA, ESMF and special framework reports), which were submitted for consultation with various stakeholders involved in the process for the purposes of improving them.

On conclusion of these consultations, a number of relevant questions were raised both on the implementation of REDD+ in general on a country level and on applying the recommendations arising from the SESA. These questions attracted the attention of the Government and were presented and debated by the Government in cooperation with other stakeholders in a workshop on June 24–28, 2013 in order to obtain consensual, adequate and above all practical responses, taking into account the specific context of the Democratic Republic of the Congo.

Improved versions of the documents, which received comments during the June workshop, referred to as the "*round two consultation workshop for REDD+ stakeholders extended to other stakeholders involved in commenting on the interim versions of the REDD+ Safeguards in the Democratic Republic of the Congo*", are available.

This refers to the documents below:

1. Environmental and Social Management Framework of the REDD+ process (ESMF)
2. Process framework (FF)
3. Indigenous Peoples Planning Framework (IPPF)
4. Involuntary Resettlement Policy Framework (IRPF)
5. Cultural Heritage Management Framework (CHMF)
6. Pest and Pesticide Management Framework (PPMF)
7. National REDD+ Social and Environmental Standards of the Democratic Republic of the Congo
8. Safeguard Information System (SIS-DRC)

In accordance with World Bank Safeguard Policy 4.01 on environmental assessment, its paragraphs 16 and 17 and the information dissemination policy recommend that these reports should be disseminated in the implementation area of the project, if possible in order to obtain the opinions and comments of people affected by the project.

In this framework, NC-REDD organizes consultations in all provinces in the Republic in order to obtain the considerations of the potential beneficiaries on the versions of the Safeguards drafted as part of REDD+ in the Democratic Republic of the Congo, and to supplement the versions of the safeguards before the national workshop to approve these documents.

## II. Objectives

- To ensure that these documents are disseminated as planned in the World Bank Safeguard Policies in all provinces in the country
- To obtain the opinions and considerations of potential beneficiaries, i.e., the populations and other local stakeholders, on the drafted versions of the Safeguards, in order to improve them.
- To find out the points of view of local/sub-national stakeholders on relevant issues raised by the SESA and by the round two consultation workshop in June, particularly with regard to the "decentralization of REDD+"
- To improve the versions of the safeguards drafted by NC-REDD on the basis of potential observations, recommendations and comments by local stakeholders.

## III. Expected results

The assignment will achieve the main results as set out below:

- Versions of the social and environmental safeguards drafted under REDD+ in the Democratic Republic of the Congo disseminated and commented upon by local stakeholders
- Opinions and considerations of local stakeholders obtained
- Points of view of local stakeholders obtained concerning relevant issues raised by the SESA and by participants in the workshop in June, particularly with regard to the decentralization of REDD+ in the Democratic Republic of the Congo
- Versions disseminated on a sub-national level improved on the basis of the observations, recommendations and comments of local stakeholders.

#### **IV. Methodology**

The sub-national consultations will be held in the ten stages set out below in accordance with the World Bank Safeguard policy:

1. Submitting the documents to the provincial public administration offices of \_\_\_\_\_ at \_\_\_\_\_, \_\_\_\_\_, \_\_\_\_\_;
2. Submitting the executive summaries of the reports (in French and the local language) to the same offices;
3. Submitting the books of comments with the pages numbered and initialed (by the provincial focal points) in these offices;
4. Ensuring that the reports are made available in locations accessible to anyone who wishes to consult and comment on them;
5. Organizing and coordinating sessions to clarify the documents with the managers of these entities and/or NGOs in order to explain what is expected of them and what they have to do;
6. Ensuring that texts are broadcast on radio to inform the population of the existence of the REDD+ program and that they can provide comments
7. Placing posters and banners to inform people about the information session and that they can provide comments
8. Compiling lists of people encountered, including their names, positions, telephone numbers, email address (if possible) and signatures;
9. Taking photographs during the consultation sessions;
10. Notifying the people consulted that the books will be recovered within a precisely defined deadline.

#### **V. Activity time frame**

The consultations will be organized over a period of approximately 90 days, i.e., three months (August–October 2013).

## 22. ANNEX VII – SUMMARY REPORT OF THE PROVINCIAL CONSULTATIONS (LEVEL 3)



### PROVINCIAL CONSULTATIONS ON THE IMPROVED VERSIONS OF THE ENVIRONMENTAL AND SOCIAL SAFEGUARDS OF THE REDD+ PROCESS IN THE DEMOCRATIC REPUBLIC OF THE CONGO:



Summary report

Kinshasa, Thursday, February 20, 2014

## I. CONTEXT AND JUSTIFICATION

In order to set up a REDD+ program that contributes effectively to the sustainable development of the country, the Democratic Republic of the Congo is conducting relevant discussions particularly around two main projects: the REDD+ National Social and Environmental Standards of the Democratic Republic of the Congo, managed by UNEP as part of the UN-REDD Program, and the Strategic Environmental and Social Assessment (SESA) supported by the World Bank Forest Carbon Partnership Facility.

For the purposes of the latter, an international company named AGRECO-LAND RESOURCES was appointed in December 2011 through competitive tendering to coordinate a participatory process of Strategic Environmental and Social Assessment for the entire REDD+ process in the Democratic Republic of the Congo. The assignment began in February 2012 with the presentation of the new methodology to implement the SESA, given the fact that no national REDD+ strategy existed at that time.

In this new methodology, the consultant put forward three levels of consultation partners to the Members of the REDD+ Social and Environmental Risks and Co-Benefits Monitoring Committee in the Democratic Republic of the Congo:

- People directly involved in developing the national REDD+ strategy in the Democratic Republic of the Congo. In general, these are Members of Thematic Coordination (TC) Groups, who are delegates of the different stakeholders involved in REDD+ in the Democratic Republic of the Congo.
- People not directly involved in developing the national REDD+ strategy, but who have a decisive role to play in its implementation. In particular, these are the General Secretaries of key sectoral ministries for REDD+ (Agriculture, Energy, Land, Finance, Hydrocarbons, Mines, etc.) and parties involved in developing REDD+ activities.
- Local and indigenous communities on a local level considered as recipients of potential benefits of REDD+ or who could suffer possible undesirable effects arising from the nationwide implementation of REDD+ activities.

Consultations lasting more or less 40 days were organized by the consultant in March–April 2012 in order to combine the greatest possible number of stakeholders in the proposal for Version 0 (V.0) of the Framework Strategy and particularly in identifying possible undesirable risks linked to its implementation, while putting forward mitigation measures (V.0 of the ESMF).

In September–October 2012, consultations were organized in six pilot provinces in order to collect the opinions and considerations of local and indigenous communities on the possible risks identified and mitigation measures proposed by first level members to address them.

On the basis of these consultations, the consultant drafted the interim versions of the SESA (SESA, ESMF and special framework reports), which were submitted for consultation with various stakeholders involved in the process for the purposes of improving them.

On conclusion of these consultations, a number of relevant questions were raised both on the implementation of REDD+ in general on a country level and on applying the recommendations arising from the SESA. These questions attracted the attention of the Government and were presented and debated by the Government in cooperation with other stakeholders in a workshop on June 24–28, 2013 in order to obtain consensual, adequate and above all practical responses, taking into account the specific context of the Democratic Republic of the Congo.

Improved versions of the documents, which received comments during the June workshop, referred to as the "*round two consultation workshop for REDD+ stakeholders extended to other stakeholders involved in commenting on the interim versions of the REDD+ Safeguards in the Democratic Republic of the Congo*", are available.

This refers to the documents below:

- Environmental and Social Management Framework of the REDD+ process (ESMF)
- Process framework (FF)
- Indigenous Peoples Planning Framework (IPPF)
- Involuntary Resettlement Policy Framework (IRPF)
- Cultural Heritage Management Framework (CHMF)
- Pest and Pesticide Management Framework (PPMF)
- National REDD+ Social and Environmental Standards of the Democratic Republic of the Congo
- Safeguard Information System (SIS-DRC)



In accordance with World Bank Safeguard Policy 4.01 on environmental assessment, its paragraphs 16 and 17 and the information dissemination policy recommend that these reports should be disseminated in the implementation area of the project, if possible in order to obtain the opinions and comments of people affected by the project.

In this framework and in cooperation with sub-national environmental coordination offices and provincial representatives of the GTCR (the REDD climate working group) and the REPALF, NC-REDD organized consultations in the provinces of the Democratic Republic of the Congo in order to obtain the view of potential beneficiaries or potential victims of the results of REDD+ concerning the versions of the Safeguards drafted as part of REDD+ in the Democratic Republic of the Congo before the national workshop, to approve these documents.



These conferences were attended by members of the provincial Government and the administration, Civil Society organizations (GTCR [the REDD climate working group]), representatives of local and indigenous communities, farmers' organizations (women, young people, etc.), representatives of the private sector and international NGOs and UN agencies, as well as the media.

## II. OBJECTIVES

The objectives of these consultations are as follows:

- To ensure that these documents are disseminated as planned in the World Bank safeguard policies in all provinces in the country;
- To obtain the opinions and considerations of potential beneficiaries or potential victims of the results of REDD+, i.e., the populations and other local stakeholders, on the drafted versions of the Safeguards for improvement.
- To ascertain the points of view of local/sub-national stakeholders about relevant issues raised by the SESA and by the round two consultation workshop in June, particularly with regard to the "decentralization of REDD+";
- To improve the versions of the safeguards drafted by NC-REDD on the basis of potential observations, recommendations and comments by local stakeholders.

## III. METHODOLOGICAL APPROACH

In the framework of provincial consultations on the improved versions of the environmental and social safeguards of the REDD+ process in the Democratic Republic of the Congo, the following stages have been observed in accordance with the World Bank safeguard policy:

1. Submitting the documents to offices of the provincial public administration and of other stakeholders

2. Submitting the executive summaries of the reports to the same offices;
3. Submitting the books of comments with the pages duly numbered and initialed to these offices;
4. Ensuring that the reports are made available in locations accessible to anyone who wishes to consult and comment on them;
5. Organizing and coordinating sessions to clarify the documents with the managers of these entities and/or NGOs in order to explain what is expected of them and what they have to do;
6. Ensuring that texts are broadcast on radio and television to inform the population of the existence of the REDD+ program and that they can provide comments
7. Placing posters and banners to inform people about the information session and that they can provide comments
8. Compiling lists of people encountered, including their names, positions, telephone numbers, email address (if possible) and signatures;
9. Taking photographs during the consultation sessions;
10. Notifying the people consulted that the books will be recovered within a precisely defined deadline.

#### IV. Results achieved

The provincial consultations on the improved versions of the social and environmental safeguards achieved the main results set out below:

- The versions of the social and environmental safeguards drafted as part of REDD+ in the Democratic Republic of the Congo have been disseminated and local stakeholders have commented on them;
- The opinions and considerations of local stakeholders have been obtained;
- The points of view of local stakeholders about relevant issues raised by the SESA and by participants in the workshop in June, particularly with regard to the decentralization of REDD+ in the Democratic Republic of the Congo have been collected;
- The versions disseminated in the provinces have been supplemented on the basis of the observations, recommendations and comments of the local stakeholders.

#### V. Main activities implemented

- Policy or scoping meetings with various stakeholders

One workshop was held in each province to present the scope to sub-national and local parties and consisted of:

- Presenting a summary of the improved versions of the REDD+ environmental and social safeguards developed by AGRECO-LAND RESOURCES
- Summarizing the objectives and the main results expected from the sub-national consultations
- Obtaining consensual comments from provincial stakeholders on the main options raised by the SESA and by the participants in the June 2013 workshop.



Welcome address



Brief policy overview



Opening address



In most cases, scoping meetings were organized as follows: (i) welcome address presented by the Provincial Minister in charge of the Environment, followed by (ii) a brief policy overview by the REDD+ Social and Environmental Expert from NC-REDD and (iii) an opening address by the Provincial Governor before the works as such.

After the official opening ceremony, the NC-REDD presented the main lessons learned in the REDD+ process in the Democratic Republic of the Congo, with the main challenges involved, before presenting a summary of the SESA drafted by the consultant AGRECO-LAND RESOURCES dealing with the major options and related issues of concern in order to find out the considerations and opinions of the stakeholders consulted.

The presentation was followed by a discussion before organizing work in sub-groups to examine in detail the analysis of the documents presented.



Participants in the conference rooms



Participants in a focus group

At the end of the group work, the participants formulated recommendations to be adopted when these documents are approved on a national level.

▪ With regard to the REDD Project criteria:

- For the agricultural sector, consideration should be given to agroforestry;
- For the energy sector, solar energy should be borne in mind and wood briquettes should be promoted; consideration should be given to planting fast-growing species with a high calorific value;
- Reduced impact logging (RIL) should be promoted in the forestry sector;

- A forestry policy must be introduced for the governance sector and the relevant legislation must be rigorously applied;
- Participatory micro-zoning should be undertaken for the planning sector;
- Land tenure should be clarified in the land sector;
- For the demography sector, a family planning strategy and a migration policy should be developed:
  - With regard to the main potentially negative impacts by type of REDD+ activity and practicable mitigation measures
- With regard to water pollution by animal manure, disturbance of stream banks, burial of watercourses and recovery of animal manure as fertilizer and a source of bioenergy
- With regard to social conflicts due to land use, land reform, FPIC, macro- and micro-zoning and applying traditional conflict management
- With regard to land grabbing, allocating deeds to local communities
- With regard to pesticide contamination, finding natural plant protection products used as pesticides (organic pest control)
- With regard to watercourse sedimentation, watercourse protection regulations must be observed and riverbank protection zones should be established
- With regard to population migration for the purposes of finding work and developing small business, macro- and micro-zoning should be implemented, local governance should be improved and income generating activities (IGAs) and micro-credit schemes should be promoted.
  - With regard to the sub-national division of REDD programs:
    - The following should be done first for the purposes of benefit sharing:
      - Identifying "landowners", assessing the area covered by forest and the amount of sequestered carbon;
      - Revenues should then be allocated as follows, irrespective of the project initiator:
        - Local communities: 50%;
        - Administration: 20%;
        - Project initiator: 20%;
        - Agent: 5%;
        - Financial management: 2.5%.
        - Administrative expenditure: 2.5%.
- With regard to conflict management, attempts should first be made to resolve conflicts amicably before resorting to mediation by the Sub-National REDD Coordination Office; if the conflict persists, it should be referred to the competent courts
- With regard to the sub-national REDD Management Mechanism, a **Sub-National REDD Coordination Office** should be established as a matter of urgency. This Sub-National REDD Coordination Office must also be represented at the level of the Sub-National Advisory Board. The same provisions must be applied to all decentralized entities.

## **23. ANNEX VIII: REPORT ON THE ASSIGNMENT TO COMPILE COMMENTS PROVIDED BY STAKEHOLDERS ON THE PRELIMINARY VERSIONS OF THE REDD+ PROCESS SESA IN THE DEMOCRATIC REPUBLIC OF THE CONGO**

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**SESSION FOR COMPILING THE COMMENTS OF STAKEHOLDERS ON THE PRELIMINARY VERSIONS OF THE STRATEGIC ENVIRONMENTAL AND SOCIAL ASSESSMENT (SESA) OF THE REDD+ PROCESS IN THE DEMOCRATIC REPUBLIC OF THE CONGO**

**Report**

**KISANTU, February 10–13, 2014**

## 1. Context and rationale for the session

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The REDD+ process in the Democratic Republic of the Congo is based on the Government's efforts to reduce deforestation and forest degradation by developing a stable reference scenario to be used as a real decision-making tool for the country. The country has developed its national Readiness Preparation Proposal for REDD+ (RPP) and has introduced a national REDD+ Framework Strategy to steer activities for implementing REDD+ until 2035.

As REDD+ programs and projects may exert an impact on the environment, natural resources and human populations, the country has decided to introduce the SESA, a participatory tool to identify potential risks (positive and negative) arising from the implementation of REDD+ on a national scale. The purpose of this is to put forward measures to avoid, mitigate or, if applicable, compensate for potentially sensitive effects, while strengthening measures to maximize the advantages and multiple dividends resulting from the REDD+ process.

The work of developing the SESA was assigned to a consultant<sup>46</sup> who produced the preliminary versions of the Environmental and Social Management Framework (ESMF) and specific frameworks. Following the round two consultation workshop organized in June 2013 for stakeholders involved in REDD+ in the Democratic Republic of the Congo, improved versions of the ESMF and the Specific Management Frameworks were developed in accordance with the activities planned under the REDD+ Strategy.

The documents were submitted to sub-national consultations and to stakeholders, particularly Civil Society and the FMT (Facility Management Team of the FCPF) to formulate the latest comments.

The workshop at Kisantu, held on February 10–13, 2014, was an ideal framework for reviewing the comments and observations from the sub-national level, as well as those of the FMT and Civil Society representatives. This way, a small core of people, including representatives of stakeholders (Civil Society, indigenous peoples, sectoral ministries, etc. — see the list of participants), could compile them, ensuring improved transparency in processing the comments for the purposes of lending further credibility to the process and maximizing the results. Out of 22 participants, 12 representatives, including 6 from Civil Society and 6 from REPALF (the platform for indigenous peoples) took part in this compilation assignment. The reason for this is the intention to strengthen participation and transparency in processing the comments received from consultations organized as part of the SESA.

## 2. Objective

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The main purpose of the compilation session was to introduce a transparent participatory framework for compiling and processing comments received during the consultations.

The session for compiling and processing the comments received also had the following specific objectives:

- to analyze and decide on the relevance or grounds for the recommendations and comments received, bearing in mind the diverging interests inherent to a multi-stakeholder process such as REDD+;
- to review the versions developed by the consultant on the basis of comments "approved" by the participants;
- to provide convincing replies to some comments considered unacceptable.

## 3. Methodology

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Electronic or paper copies of the frameworks developed by the Consultant and the comments from stakeholders, particularly the provinces, the FMT and Civil Society, were handed out to the participants. In order to bring the participants up to date, the NC-REDD presented a brief summary of the results achieved by the SESA. The participants then split into four working groups to analyze the comments. The results from the groups were then presented for discussion and approval in a plenary session. Finally, a core of experts was set up to integrate the comments approved in the plenary session in a single body in order to send it to the World Bank for a declaration of non-objection before the national approval workshop.

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<sup>46</sup> AGRECO-LAND RESOURCES

## 4. Progress of the session

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### DAY ONE

#### Opening ceremony

After the participants were registered, the national REDD coordinator, Mr. Victor Kabengele, gave an opening address strongly emphasizing the relevance of the work expected from the participants, which consisted of analyzing stakeholders' comments to supplement the different SESA frameworks before the national approval workshop.

#### Adoption of the session agenda

The NC-REDD Coordinator who chaired the session read out a summary of the session agenda as proposed by NC-REDD. The participants adopted this agenda without any comments.

#### Presentation of the results of the Consultant's work (by Victor Kabengele, NC-REDD Coordinator)

The National REDD Coordinator summarized the main deliverables implemented and the stages of the Strategic Environmental and Social Assessment (SESA) mission to be followed. He strongly emphasized that this is a participatory process of identifying potential risks (positive and negative) arising from the implementation of REDD+ on a national scale, in order to put forward measures to avoid, mitigate or, if applicable, compensate for potentially damaging effects, while strengthening measures to maximize the large number of advantages.

He then briefly presented the main points raised in the comments provided by stakeholders on the revised versions of the SESA, making reference to the comments of the FMT and the consultations on a sub-national level. He strongly emphasized that the Kisantu session was a crucial stage in analyzing and processing stakeholders' comments and should be put to maximum use to further supplement the different SESA frameworks developed by the Consultant.

He concluded by specifying that the reserved responses by the participants in this compilation session to the comments provided will be substantiated in a document to be submitted to the World Bank for obtaining a statement of non-objection before the national approval workshop. This will allow the World Bank to check the compliance of the results with its safeguard policy.

#### Presentation of the frameworks produced by the SESA and the results of the sub-national consultations (by Rubin Rashidi, NC-REDD Expert on SESA)

Mr. Rubin Rashidi first explained the relevance of each framework developed by the SESA in the context of REDD+ to the participants.

He then summarized the methodology used for the sub-national consultations, which involved popularizing the main options recommended by the SESA among the different sub-national stakeholders, in order to obtain their opinions and considerations. He then outlined the results obtained during these consultations.

Finally, the speaker mentioned that the sub-national stakeholders had not examined the whole range of SESA frameworks, but worked on the basis of the analytical summaries made available to them. These were the "non-technical summaries" of the ESMF developed by the consultant, the result being that the sub-national comments only related to these summaries.

#### Presentation of the session methodology (by Victor Kabengele and Rubin Rashidi)

The participants, divided into four (4) working groups according to their expertise and interests, addressed the areas listed below:

1. ESMF
2. Process framework and IRPF
3. Pest and Pesticide Management Framework
4. IPPF and CHMF

Each working group analyzed the observations and recommendations provided in relation to their area before accepting or rejecting them.

A four-column table showing (i) sub-national comments, (ii) FMT comments, (iii) comments of Civil Society representatives and (iv) the opinion of the group was handed to each group to facilitate the compilation work and to ensure that uniform logic was applied when the results were fed back to the plenary session.

The comments approved in the plenary session after being submitted by the working groups will be included in the "final" versions to be submitted to the World Bank to obtain a statement of non-objection.

Make-up of the groups

- Group 1: Strategic Environmental and Social Management Framework (facilitated by Mr. Julien Kabalako, Civil Society representative)
- Group 2: Process framework and Resettlement Framework (facilitated by Mr. Aimé Bakila, Civil Society representative)
- Group 3: Pesticide Management Framework (managed by Mr. Antoine Iyela, Ministry of Agriculture)
- Group 4: Indigenous Peoples Planning Framework and Cultural Heritage Management Framework (facilitated by Mr. Willy Loyombo, Civil Society representative)

Work in groups

Group work began immediately after the groups were established and continued until the end of the day.

Presentation of the agenda for the second day and conclusion of the first day

The Chair of the session presented the agenda for the second day, stating that it should essentially consist of finalizing the group work initiated on the first day and, if possible, feedback on the results of the group work in the afternoon.

**DAY TWO**Work in groups

Group work continued until the end of the second day. Note that work continued until late in the evening, at about 21.00.

Presentation of the agenda for the third day and conclusion of the first day

The Chair of the session presented the agenda for the third day, stating that it should essentially involve feeding back the results of the group work for approval in plenary.

**DAY THREE**Feedback on the results of the group work (continuation and conclusion)

Group 1, which worked on the Strategic Environmental and Social Management Framework, presented the results of its work, as did group 2, which worked on the Process framework and the Resettlement Framework and group 3, which worked on the Pest and Pesticide Management Framework.

Setting up a core group to integrate the comments into the body of the documents

NC-REDD set up a core group to work on integrating the comments selected at Kisantu in the various frameworks produced by the Consultant, as well as on ensuring improved phrasing in some places and the correction of grammatical errors and numerous instances of Belgian wording. The core group consists of a team of two people: Mr. Rubin Rashidi of NC-REDD and Mr. Willy Loyombo, a Civil Society representative.

Next steps

After setting up this core group, the Chair of the session announced the next steps, i.e., integration of the comments from the Kisantu workshop in the SESA documents, examination of these comments by the World Bank and convening the national workshop to approve the SESA frameworks.

**CONCLUSION OF THE SESSION**

The NC-REDD Coordinator congratulated the attendees on their active participation in the session. He wished them all a good trip back to Kinshasa, agreeing to meet at the national SESA approval workshop.

In specific terms, the session did not result in the formulation of recommendations; however, it should be emphasized that the session concluded with the granting of a mandate to two experts to diligently integrate the comments from Kisantu in the SESA documents so that the national SESA approval workshop could be held in the next few days.

## ANNEXES to the Compilation Report

### ANNEX A. LIST OF PARTICIPANTS

1. Mr. Benjamin Tohirambe, Director/Head of the Sustainable Development Department at the Ministry for the Environment, Nature Conservation and Tourism
2. Mr. Victor Kabengele, National REDD Coordinator
3. Mr. Abedi Senga, Head of the Single General Services Division at the Ministry for the Environment, Nature Conservation and Tourism
- 4 Mr. Rubin Rashidi, REDD Social and Environmental Expert
5. Mr. Kamathe Katsongo, Legal Framework and Policy Adaptation Expert
6. Mr. Patrick Bisimwa, Expert in charge of the REDD Register
7. Mr. Alain Binibangili, REDD IEC (Information, Education and Communication) Expert
7. Ms. Anne-Marie Bipendu, NC-REDD Administrative Assistant
8. Mr. Alain Ngulungu, Civil Society/GTCR (the REDD climate working group)
9. Mr. Julien Kabalako, Civil Society/GTCR (the REDD climate working group)
10. Mr. Alidor Muteba, Civil Society/GTCR (the REDD climate working group)
11. Mr. Don de Dieu Katshunga, Civil Society/GTCR (the REDD climate working group)
12. Mr. Espoir Tshakoma, Civil Society/GTCR (the REDD climate working group)
13. Mr. Aimé Bakila, Civil Society/GTCR (the REDD climate working group)
14. Mr. Willy Loyombo, Civil Society/REPALEF
15. Mr. Betto Nyongolo, Civil Society/REPALEF
16. Mr. Adrien Sinafasi, Civil Society/REPALEF
17. Ms. Veve Pamu, Civil Society/REPALEF
18. Mr. Jean Pierre Ntenta Tshikambile, Deputy Coordinator, Department of Studies and Planning at the Ministry of Land Tenure
19. Mr. Ruphin Imbongo, Civil Society/REPALEF
20. Mr. Blaise Mudodosi, NRN (Natural Resources Network) Coordinator/Civil Society
21. Mr. Dieu Merci Koloto, Civil Society/REPALEF
22. Mr. Antoine Iyelakongo, Head of Division at the Ministry of Agriculture
23. Ms. Limyonga Suza, Civil Society/ILDI (Integrated Local Development Initiative)
24. Ms. Mpunga Losale, Civil Society/CTID (Center for Tropical and Infectious Diseases)

**ANNEX B. SESSION AGENDA****PROGRAM OF ACTIVITIES: The workshop will take place from February 10–13, 2014**

<b>Activity</b>	<b>Time</b>	<b>Person in charge</b>
<b>Monday, February 10, 2014</b>		
Arrival at Kisantu and registration	19.00	Hotel
<b>Tuesday, February 11, 2014</b>		
Welcoming the participants	08.30– 09.00	Rapporteur
Introduction and objectives	09.00– 09.05	NC-REDD Coordinator
Presentation of the state of progress of the SESA process in the Democratic Republic of the Congo	09.05– 09.30	NC-REDD Coordinator
Presentation of the results of the work of the AGRECO consultant	09.30– 10.00	SESA/NC-REDD Expert
Coffee break	10.00– 10.15	
Questions and answers	10.15– 11.00	SESA/NC-REDD Coordinator and Expert
Presentation of the working methodology	11.00– 11.30	NC-REDD
Setting up the working groups	11.30– 12.15	NC-REDD
<i>Lunch break</i>	12.15– 14.15	<i>Restaurant</i>
Work in groups: Integration of comments and recommendations	14.15– 16.15	Working groups
Coffee break	16.15– 16.30	
Work in groups: Integration of comments and recommendations	16.30– 18.00	
End of day 1	18.00	
<b>Wednesday, February 12, 2014</b>		
Work in groups: Integration of comments and recommendations	09.00– 10.30	Work in groups
Coffee break	10.30– 10.45	
Work in groups: Integration of comments and recommendations (conclusion)	10.45– 12.30	Work in groups
<i>Lunch break</i>	12.30– 14.00	<i>Restaurant</i>
Presentation of the group work	14.00– 16.00	Facilitators/Secretariat
Coffee break	16.00– 16.15	
Presentation of the group work	16.15– 18.00	Facilitators/Secretariat
End of day 2	18.00	



<b>Thursday, February 13, 2014</b>		
Presentation of the group work (conclusion)	09.00- 10.00	Secretariat
Questions and answers	10.00- 11.00	NC-REDD/Secretariat
Integration and overall presentation	11.00- 12.30	NC-REDD/Secretariat
Lunch break	12.30- 14.00	
Integration and overall presentation (conclusion)	14.00- 16.00	NC-REDD/Secretariat
Conclusions and next steps	16.00- 17.00	NC-REDD/Secretariat
<b>Friday, February 14, 2014</b>		
Return to Kinshasa		

**24. ANNEX IX: MEMORANDUM OF UNDERSTANDING BETWEEN THE INTERIM FINANCIAL MANAGER (MULTI-PARTNER TRUST FUND/UNDP) AND THE GOVERNMENT OF THE DEMOCRATIC REPUBLIC OF THE CONGO IN THE FRAMEWORK OF THE NATIONAL REDD+ FUND OF THE DEMOCRATIC REPUBLIC OF THE CONGO**

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*Empowered lives.  
Resilient nations.*

**MEMORANDUM OF UNDERSTANDING  
BETWEEN  
THE GOVERNMENT OF THE DEMOCRATIC REPUBLIC OF THE  
CONGO  
AND  
THE UNITED NATIONS DEVELOPMENT PROGRAM  
ON THE PROVISION OF MANAGEMENT AND OTHER  
SUPPORT SERVICES  
TO THE  
NATIONAL REDD+ FUND OF THE DEMOCRATIC REPUBLIC OF THE CONGO  
*Amended Version dated August 30, 2013***

**MEMORANDUM OF UNDERSTANDING between the Government of the Democratic Republic of the Congo (DRC) and the United Nations Development Program (UNDP) for the provision of management and other support services to the National REDD+ Fund of the Democratic Republic of the Congo**

**WHEREAS** the Government of the Democratic Republic of the Congo (hereinafter referred to as the "Government") has developed the National REDD+ Fund of the Democratic Republic of the Congo (hereinafter referred to as the "Fund") with the assistance of its partners in the REDD+ process in the Democratic Republic of the Congo (UN-REDD and the World Bank Forest Carbon Partnership Facility);

**WHEREAS** the Government of the Democratic Republic of the Congo has requested the UNDP to temporarily provide administrative services for the Fund and other support services for the establishment and management of the Fund;

**WHEREAS** the UNDP agrees to provide such management and other support services through the mediation of its Multi-Partner Trust Fund Office (hereinafter referred to as the "MPTF" or the "Managing Agent") to the Fund in compliance with its Financial Regulations and its Financial Management Rules, under the terms and conditions set out in the Terms of Reference of the Fund dated November 27, 2012 and its subsequent amendment dated August 30, 2013 (hereinafter referred to as the "ToR of the Fund" or the "ToR") (set out in Annex 1);

**WHEREAS** the UNDP as the Managing Agent of the Fund agrees to conclude a Standard Administrative Agreement on behalf of the Government (hereinafter referred to as the "Standard Administrative Agreement" or "SAA") with each Contributor to the Fund (as defined in the ToR) (set out in Annex 2);

**WHEREAS** the Government of the Democratic Republic of the Congo has designated the Ministry of Finance (i) to coordinate the development and implementation of the activities of the Fund on its behalf, (ii) to assume the entire financial and programming responsibility for funds paid by the Managing Agent to National Entities (hereinafter referred to as the "National Entities"), International Non-Governmental Organizations (hereinafter referred to as the "INGOs") and Bilateral Government Development Agencies (hereinafter referred to as "Bilaterals"), which will be in charge of implementing the activities financed by the Fund (hereinafter referred to collectively as the "EN-I-B Procedure" or "National Entities-INGOs-Bilaterals Procedure") and which will have other responsibilities as set out below; and

**WHEREAS** the Government could use the technical cooperation provided by organizations in the United Nations System ("Participant Organizations of the UN"), Multilateral Development Banks and other international organizations with regulations and procedures similar to those of the United Nations Organizations (hereinafter referred to as "International Non-UN Participant Organizations") (UN Participant Organizations and International Non-UN Participant Organizations will hereinafter be referred to collectively as "International Participant Organizations") to implement certain activities financed by the fund; for this purpose, the relationship between the International Participant Organizations and the Managing Agent shall be governed by a standard Memorandum of Agreement for Multi-Partner Trust Funds using the Pass-Through Fund Management procedure relating to the National REDD+ Fund of the Democratic Republic of the Congo (set out in Annexes 3 and 4). International Participant Organizations that will sign the Memorandum of Agreement with the Managing Agent will be subject to the approval of the Steering Committee on the basis of a proposal of the Ministry of Finance through the Executive Secretary. The Managing Agent shall provide the Government with advance notification of the signing of the Memorandum of Agreement through the Ministry of Finance, sending a copy of the Memorandum;

**WHEREAS** this Memorandum of Understanding on the one hand governs the relationship between the UNDP and the Government, represented by the Ministry of Finance (hereinafter referred to as "MINFIN") and the Ministry of the Environment, Nature Conservation and Tourism (hereinafter referred to as "MECNT"); on the other hand, its provisions govern the agreements with Contributors and International Participant Organizations for the Fund (set out in Annexes 2, 3 and 4);

**IN CONSEQUENCE**, the Government and the UNDP, hereinafter referred to as "the Parties", have agreed on the following:

## Chapter 1

### Purpose, Governance Structure and Composition of the National REDD+ Fund of the Democratic Republic of the Congo

#### Article 1

The purpose of the fund is to serve as a financial instrument to mobilize and combine diverse sources of finance (public and private, national and international) for implementing the national REDD+ objectives as defined by the National REDD+ Strategy (available at the time of establishment of the Fund as the Framework REDD+ Strategy) and its investment plans, in order to allow the Government of the Democratic Republic of the Congo to have direct access to the entire range of international climate finance, while ensuring compliance with financial standards and international requirements (including in terms of *Monitoring, Reporting and Verification* or "MRV").

**Article 2**

A Steering Committee shall be the main coordination and governance mechanism as described in the Terms of Reference (ToR) of the Fund. The Steering Committee shall assume the responsibilities and tasks allocated to it in the ToR, including final decisions on the allocation of funds and efficient supervision of the monitoring and evaluation of activities financed by the Fund. The activities of the Fund must be implemented in compliance with the National Regulatory and Development Framework in the case of the National Entities and, in the case of INGOs and Bilaterals, with the regulatory framework to which they are subject, on the condition that the legislation, regulations and procedures do not contravene the principles set out in the rules, regulations, policies and procedures of the UNDP. Whereas the activities financed by the fund and undertaken by International Participant Organizations must be implemented in compliance with their own rules, regulations, policies and procedures in accordance with Annexes 3 and 4.

**Article 3**

The Government and the UNDP will engage in close consultation with regard to the management and other support services provided pursuant to this Memorandum of Understanding. The Government must ensure that the competent authorities of the Democratic Republic of the Congo provide all the support required by the UNDP in order to facilitate the activities to be implemented by the UNDP under the fund. The Steering Committee shall adopt its Internal Regulations in accordance with the TOR of the Fund. For its part, the UNDP as Managing Agent must cooperate fully with the government, particularly with regard to the management of the funds put at its disposal by the different contributors, as part of its responsibilities as set out in Article 7.

**Article 4**

The Steering Committee shall be chaired by the representative of the Ministry of Finance (the Minister or his/her appointed representative) with the MECNT as vice-chairperson. In addition, it shall comprise eleven members, including one ex-officio member: four representatives of the government, two representatives of the contributors, one Civil Society representative, one private sector representative, the United Nations Resident Coordinator and two representatives of the international partners of the REDD+ process in the Democratic Republic of the Congo (UN-REDD and the World Bank Forest Carbon Partnership Facility), with one single vote in rotation. The Multi-Partner Trust Fund office of the UNDP shall take part in this committee as an ex officio member without voting rights.

**Chapter 2 – Functioning****Article 5**

The Government hereby engages the UNDP through its Multi-Partner Trust Fund Office as

Managing Agent to temporarily administer the Fund on its behalf for an interim period in compliance with the ToR. The UNDP shall use its Multi-Partner Trust Fund management mechanism as adapted to the management and other support services described herein. It is agreed that the national party shall be associated as from the launch of the Fund and that trust fund management capacity building shall take place gradually until the full transfer of trust fund management competences from the UNDP to the national party. The Fund Operations Manual shall set out the approach to developing the capacity building plan.

**Article 6**

As from the signing of this Memorandum of Understanding, the UNDP shall conclude the following on behalf of and in consultation with the Government: (i) a memorandum of agreement with International Participant Organizations that could be mobilized for technical cooperation on activities financed by the Fund (after obtaining the opinion of the Executive Secretariat) and (ii) a Standard Administrative Agreement (SAA) with each Contributor for receipt of the funds.

**Article 7**

The UNDP as Managing Agent, through its Multi-Partner Trust Fund Office, shall be in charge of the following functions:

- (a) receiving financial contributions from the Contributors and depositing them in the Account of the Fund;
- (b) administering the funds received in compliance with UNDP rules, regulations, policies and procedures and with the ToR of the Fund;
- (c) paying out the funds in compliance with the decisions of the Steering Committee and subject to the availability of funds and observance of the instructions of the Ministry of Finance
  - (i) to the National Entities, INGOs and Bilaterals and (ii) to the International Participant Organizations, keeping account of the budget planned in approved program document 1 as regularly amended in writing by the Steering Committee;
- (d) drafting regular updates and reports on the basis of the consolidated information submitted to the Managing Agent by the Executive Secretary and based on disaggregated information from each National Entity, INGO and Bilateral and from the International Participant Organizations as set out below in Chapter 5 and to send these updates and reports to the Ministry of Finance, the Steering Committee and the Contributors through the Executive Secretariat;
- (e) providing a final report if applicable;
- (f) providing an overall management report at the time of the transfer to a National Entity;

(g) paying out the funds to the Ministry of Finance, to all National Entities, INGOs and Bilaterals or all International Participant Organizations for all additional costs for tasks not linked to the administration of the fund that the Steering Committee may decide to allocate to the aforementioned Parties in compliance with the ToR of the Fund;

(h) building the trust fund management capacities of the national party in accordance with Article 5 at the expense of the National REDD+ Fund during the period in which the Managing Agent provides the services.

#### **Article 8**

The Managing Agent shall conclude a Standard Administrative Agreement with each Contributor wishing to provide financial support to the Fund through the Managing Agent, notifying the Ministry of Finance in advance. The Managing Agent may not agree to change the conditions set out in this Agreement without the prior written consent of the Ministry of Finance. The Managing Agent and the Ministry of Finance must ensure that a copy of the Standard Administrative Agreement and the information on the contributions will be published on the Managing Agent's website (<http://mptf.undp.org>) and on the Fund website if applicable, no later than one (1) week after signing.

#### **Article 9**

The Managing Agent shall be authorized to allocate administrative expenses amounting to one percent (1%) of the amount paid by each Contributor that has signed a Standard Administrative Agreement for the payment of costs linked to performing its duties as described in this Memorandum of Understanding. Details of the administrative expenses shall be subject to agreement between the Managing Agent and the Ministry of Finance in a separate letter.

The expression "approved program document" as used in this document refers to projects and programs approved by the Steering Committee for the purposes of allocating finance.

### **Chapter 3**

#### **Financial matters**

#### **Article 10**

The Managing Agent shall set up a separate ledger account (hereinafter referred to as the "Account of the National REDD+ Fund") in accordance with its financial regulations and its financial management rules for the purposes of receiving and administering the funds received pursuant to a Standard Administrative Agreement. The aforementioned contributions shall be credited to the Account of the National REDD+ Fund. The Account of the National REDD+ Fund shall be administered by the Multi-Partner Trust Fund Office of the UNDP as Managing Agent in compliance with UNDP rules, regulations policies and procedures, including those concerning interest. The Account of the National REDD+ Fund shall be exclusively subject to the internal and external verification procedures stipulated by the applicable UNDP financial rules, regulations policies and procedures.

#### **Article 11**

The Managing Agent shall not absorb the gains or losses linked to exchange rate variations that increase or reduce the amount of available funds for the purposes of payment to the Ministry of Finance, to the National Entities, INGOs and Bilaterals or to the International Participant Organizations.

#### **Article 12**

Subject to the availability of funds, the Managing Agent shall make payments from the Account of the Fund on the basis of the decisions taken by the Steering Committee in accordance with the budget set out in the program document, as regularly modified by the Steering Committee.

#### **Article 13**

In normal circumstances the Managing Agent shall make every payment to the National Entities, INGOs and Bilaterals within three (3) to five (5) working days of receipt of the required approved program document, in compliance with the decision of the Steering Committee and with the ToR of the Fund, accompanied by a copy of the approved program document. The Managing Agent shall transfer amounts to each National Entity, INGO and Bilateral by wire transfer on the instructions of the Ministry of Finance. The Ministry of Finance shall send the Managing Agent details of the bank account for receiving transfers related to this Agreement. When making a payment, the Managing Agent shall notify the Ministry of Finance and shall send a copy of the following information to the National Entity, INGO or Bilateral: (a) the amount paid, (b) the value date of the transfer and (c) notification that the transfer was issued by the Multi-Partner Trust Fund Office of the UNDP under the Fund and pursuant to this Memorandum of Understanding.

#### **Article 14**

In accordance with the provisions set out in Article 12, the details of payments to International Participant Organizations are described in the standard Memorandum of Agreement to be signed between the International Participant Organizations and the Managing Agent (set out in Annex 3). When making a transfer, the Managing Agent shall notify the International Participant Organizations, sending a copy of the notification to the Ministry of Finance accompanied by a copy of the following information: (a) the amount paid, (b) the value date of the transfer and (c)

notification that the transfer was issued by the Multi-Partner Trust Fund Office of the UNDP under the Fund and pursuant to this Memorandum of Understanding.

#### **Article 15**

The resources of the Fund, including interest accumulated on the Fund Account, will be used to cover the direct and indirect costs of projects managed by the National Entities, INGOs,

Bilaterals and International Participant Organizations and the direct costs linked to the administration of the Fund (in accordance with Article 9), the operation of the Fund structures and the required evaluations of the fund as a whole. Details of these proposals, including the respective budgets and a description of the National Entities, INGOs, Bilaterals and International Participant Organizations, shall appear in the project documents and/or proposals approved by the Steering Committee.

#### **Article 16**

The Government has designated the Ministry of Finance as the main contact point for all issues related to the administration and management of the Fund, including its relationship with the Managing Agent. The Ministry of Finance assumes the entire programming and financial responsibility for the amounts to be paid by the Managing Agent to the National Entities, INGOs and Bilaterals. The Ministry of Finance shall specify the procedures related to the programming and financial responsibility for the funds in the respective agreements (each being an "EN-I-B agreement"), which it will sign with each National Entity, INGO or Bilateral with access to the Fund. Without prejudice to the previous point and in accordance with this Memorandum of Understanding, upon request from a Contributor, the Government may decide that it shall become a stakeholder in such an agreement between the Government Coordination Entity and an INGO or a Bilateral, although ensuring that such an EN-I-B agreement is compliant and consistent with the SAA and the legal framework governing the Fund (including, but not exclusively, the ToR).

#### **Article 17.a**

For the purposes of implementing activities financed by the Fund, National Entities, INGOs and Bilaterals shall be proposed by the Ministry of Finance on the basis of an assessment by the Executive Secretariat of their financial, administrative and technical capacities and shall be subject to approval by the Steering Committee. The Steering Committee shall also examine and approve the recommended project proposals for the purpose of financing. The National Entities shall receive and pay out funds and shall implement activities on the basis of the national regulatory and development framework; the INGOs and Bilaterals shall do so on the basis of the regulatory framework to which they are subject in accordance with Article 1, paragraph 2 above.

#### **Article 17.b**

For the purposes of implementing activities financed by the Fund,

International Participant Organizations shall be proposed by the Ministry of Finance through the Executive Secretariat and approved by the Steering Committee. The Steering Committee shall also examine and approve the recommended project proposals for the purpose of financing. The International Participant Organizations shall receive and pay out funds and implement activities on the basis of their own rules and procedures.

#### **Article 18**

The Ministry of Finance shall create or ensure creation by each National Entity of a separate ledger account in accordance with its financial regulations and its financial management rules. The Ministry of Finance shall ensure that each INGO and Bilateral creates a separate ledger account in accordance with its respective financial regulations and financial management rules for receiving and administering the funds paid to them by the Managing Agent from the Account of the Fund.

#### **Article 19**

The Ministry of Finance shall use and shall ensure that the National Entities, INGOs and

Bilaterals use the funds paid to them by the Managing Agent for the purposes of implementing the activities for which they are responsible under the terms of the approved program document. The Ministry of Finance and the National Entities, INGOs and Bilaterals shall only undertake or pursue operations linked to program activities after receipt of the payments and in accordance with the instructions of the Steering Committee. The Ministry of Finance and the National Entities, INGOs and Bilaterals may not make any commitment exceeding the approved budget in the approved program document as regularly amended by the Steering Committee.

If the need arises to exceed the budgeted amount, the National Entity, INGO or Bilateral shall submit a request for an additional budget to the Steering Committee through the Ministry of Finance.

#### **Article 20**

The use of the funds paid by the Managing Agent to the International Participant Organizations as approved by the Steering Committee shall comply with the provisions of the respective Memorandum of Agreement signed between the Managing Agent and the International Participant Organizations (Annex 3).

#### **Article 21**

Contributors shall make their contribution in accordance with the provisions set out in the Standard Administrative Agreement (SAA).

## Chapter 4

### Activities of the Fund

#### Article 22

Before the Managing Agent transfers funds to a National Entity, INGO or Bilateral, the Ministry of Finance shall conclude an EN-I-B agreement with each National Entity, INGO or Bilateral involved, setting out the terms and conditions related to receipt of the amounts originating from the Fund, in accordance with this Memorandum of Understanding and the ToRs. In accordance with Article 16, upon request from the Contributor, the Government may decide that it should become a stakeholder in this EN-I-B agreement. The Ministry of Finance shall ensure that each National Entity, INGO or Bilateral is responsible for the activities specified in its proposal in compliance with the decisions of the Steering Committee and with the National Regulatory Framework in the case of National Entities and, in the case of INGOs and Bilaterals, with the regulatory framework to which they are subject.

#### Article 23

After approval by the Steering Committee of the proposal of each National Entity, INGO and Bilateral, the Ministry of Finance shall instruct the Managing Agent to transfer the approved amounts to the relevant National Entity, INGO or Bilateral.

#### Article 24

Through the Steering Committee, the Ministry of Finance shall take the necessary measures to ensure that the National Entities have the required capacity to meet their commitments in compliance with the National Regulatory Framework. With regard to INGOs, Bilaterals and International Participant Organizations, the Ministry of Finance and the Steering Committee shall have access to their audit reports (certification, organization, investigation) in the framework of and in compliance with their rules and regulations.

#### Article 25

Any change in the area of application of the approved program document, particularly with regard to its nature, contents, sequencing or duration, shall be subject to a mutual written agreement between the Steering Committee and the relevant National Entity, INGO or Bilateral. Through the Ministry of Finance, the Steering Committee shall promptly notify the Managing Agent of any change made in the budget that it has approved, as set out in the program document of all National Entities, INGOs or Bilaterals. For activities undertaken by National Entities, INGOs and Bilaterals and financed by the Fund, on termination or expiry of this Memorandum of Understanding, ownership of the equipment, supplies and other benefits financed with the assistance of the Fund shall be transferred to the Government.

#### Article 26

The Ministry of Finance shall ensure that when a National Entity, INGO or Bilateral wishes to implement its activities through a third party or in cooperation with a third party, this Entity shall be responsible for the fulfillment of all commitments and obligations of the aforementioned third party and for the Managing Agent not to assume responsibility for them.

#### Article 27

As part of the implementation of their activities, neither the Ministry of Finance, nor the National Entity, INGO or Bilateral shall be considered an agent of the Managing Agent; neither shall the members of their personnel be considered members of the personnel or agents of the Managing Agent. Without limiting the overall application of the above, the Managing Agent shall not be liable for any actions or omissions of the Ministry of Finance, National Entities, INGOs, Bilaterals or members of their personnel or persons providing services on their behalf.

#### Article 28

After approval by the Steering Committee, the Ministry of Finance shall notify the Managing Agent in writing on completion of all activities for which the National Entities, INGOs and Bilaterals are responsible under the terms of the approved program document.

#### Article 29

The Ministry of Finance recognizes that the Contributors reserve the right to suspend their contribution in the event of failure to meet the reporting obligations as set out in the Standard Administrative Agreement, or if there are substantial divergences from the agreed plans and budgets as approved by the Steering Committee. If the Steering Committee, the Ministry of Finance, the Contributors and the Managing Agent agree that there is evidence of improper use of the funds by the National Entities, INGOs or Bilaterals, the Ministry of Finance shall take all measures within its power to recover the inappropriately used funds through the competent government body and in compliance with its rules, regulations, policies and procedures.

Following consultation with the Steering Committee, the Ministry of Finance shall either transfer the funds recovered in this way to the credit of the Account of the Fund, or shall reach agreement with the Steering Committee to use the aforementioned funds for all purposes that have been the object of an agreement. Before deferring any suspension or requesting recovery of the funds and their transfer to the credit of the

Account of the Fund, the Managing Agent, the Ministry of Finance and the Contributor shall undertake mutual consultations in order to settle the situation promptly.

#### **Article 30**

The Ministry of Finance recognizes the importance of taking all necessary precautions to avoid any abusive practices. For this purpose, the Ministry of Finance shall guarantee and ensure that the National Entities, INGOs and Bilaterals:

- (i) apply the National Legal and Regulatory Framework for the use of public funds by National Entities and, in the case of INGOs and Bilaterals, apply the regulatory framework to which they are subject;
- (ii) report all misconduct, including any improper use of the funds, to the Steering Committee as soon as it comes to their attention.

#### **Article 31**

If the Ministry of Finance considers that allegations concerning the implementation of activities — including allegations that corrupt, and fraudulent, collusive or coercive practices — may have taken place, and are sufficiently credible to justify an inquiry, it shall promptly notify the Steering Committee, the Managing Agent and the competent regulatory and control authorities of the Democratic Republic of the Congo of the allegations, inasmuch as such notification does not compromise the inquiry. The allegations shall be examined by the competent entity of the Government of the Democratic Republic of the Congo in charge of the inquiry. On completion of the inquiry, the Ministry of Finance shall notify the Steering Committee, the Managing Agent and the Contributors of the results of the inquiry and the action to be taken, which shall be treated in accordance with the National Legal and Regulatory Framework in the case of National Entities and, in the case of NGOs and Bilaterals, in accordance with the regulatory framework to which they are subject.

#### **Article 32**

The activities of International Participant Organizations must be implemented in compliance with the provisions of the standard Memorandum of Agreement signed between the International Participant Organizations and the Managing Agent (Annex 3).

#### **Article 33**

Contributors shall take part in the governance process of the Fund in accordance with the Terms of Reference. Without prejudice to the previous point and in accordance with Article 16, upon request from the Contributor, the Government may decide for it to become a stakeholder in this EN-I-B agreement between the Government Coordination Entity and an INGO or a Bilateral, however ensuring that such an EN-I-B agreement is compliant and consistent with the SAA and the legal framework governing the Fund (including, but not exclusively, the ToR).

### **Chapter 5**

#### **Reporting and certification of the accounts**

#### **Article 34**

In accordance with their respective agreements, the National Entities, INGOs and Bilaterals and the International Participant Organizations shall provide the Managing Agent and the Executive Secretariat with the following statements and reports as stipulated in the Fund ToR:

(a) annual narrative progress reports, to be provided no later than three months (March 31) after the end of the calendar year; (b) annual financial statements and reports on December 31 relating to the amounts transferred with the help of the Account of the Fund, to be provided no later than four (4) months (April 30) after the end of the calendar year; (c) final narrative reports after completion of the activities planned in the approved program document, to be provided by April 30 of the year following the financial closure of the program. The financial report shall provide a summary of the results and implementation in relation to the aims and objectives of the Fund; and (d) certified final financial statements and reports after completion of the activities planned in the approved program document, including the last year of the aforementioned activities, to be provided by June 30 of the year following the financial closure of the Fund.

#### **Article 35**

The Executive Secretariat shall prepare the consolidated narrative annual progress reports, while the Administrative Agent shall prepare the consolidated annual financial reports on the basis of the reports specified in Article 33 (a) to (d) above. The Managing Agent shall send the aforementioned consolidated reports as approved by the Steering Committee to the Ministry of Finance and to each Contributor to the Fund no later than May 31 of each year.

#### **Article 36**

The Managing Agent shall also send the following statements on its activities to the Ministry of Finance, the Steering Committee and the Contributors:

- (a) certified annual financial statements ("Source and use of the funds"), to be provided no later than five (5) months (May 31) after the end of the calendar year; and
- (b) if applicable, certified financial statements ("Source and use of the funds"), to be provided no later than the seventh (7th) month (July 31) of the year following the financial closure of the Fund.

#### **Article 37**

The consolidated reports and related documents shall be published on the websites of the Fund and the Managing Agent (<http://mptf.undp.org>).



## Chapter 6

### Monitoring and Evaluation of the Audit and Direct Communication

#### Article 38

Monitoring and evaluation of the Fund including, if necessary and if appropriate, a joint evaluation by the Government, represented by the Ministry of Finance and the MECNT, and the Contributors, Managing Agent, National Entities, INGOs, Bilaterals and International Participant Organizations and other partners, shall be carried out in compliance with the provisions of the ToR of the Fund and the fund Operations Manual.

#### Article 39

The Ministry of Finance, the MECNT, the Steering Committee, the Executive Secretariat and the Technical Committee, together with the National Entities, INGOs, Bilaterals, International Participant Organizations, Contributors and the Managing Agent, through the Steering Committee, shall organize annual consultations, if appropriate, to examine the situation and the operation of the Fund.

#### Article 40

The National Entities shall be subject to an audit through the Ministry of Finance, in accordance with the national audit framework of the Democratic Republic of the Congo, and the INGOs and the Bilaterals in accordance with the regulatory framework to which they are subject, and shall be subject to an external audit in accordance with their respective EN-I-B agreement. The International Participant Organizations and the Managing Agent shall be subject to an audit in accordance with their own Financial Regulations and Financial Management Rules as set out in Annex 3.

#### Article 41

The Ministry of Finance, the MECNT and the Steering Committee shall take appropriate measures to promote the Fund in public and to commend the efforts of the other stakeholders. Information given to the press and to beneficiaries of the fund and all publicity material, official opinions and related reports and publications shall mention the leading role of the Government, the Contributors, the Ministry of Finance, the MECNT, the Managing Agent and all other entities involved. In particular the Managing Agent shall ensure that the role of the

Government, Steering Committee, Ministry of Finance, MECNT, national partners, National Entities, INGOs, Bilaterals, International Participant Organizations and Contributors is properly acknowledged in all external communications related to the Fund.

#### Article 42

In consultation with the Steering Committee and through the Ministry of Finance and the MECNT, the Managing Agent shall ensure that decisions concerning examination and approval of the Fund, the regular progress reports on the implementation of the Fund and the related evaluations are published if required for public information purposes on the websites of the Fund and the Managing Agent (<http://mptf.undp.org>). The aforementioned reports and documents may include the programs approved by the Steering Committee and programs pending approval, along with progress reports, annual financial reports and external evaluations of the Fund, if applicable.

## Chapter 7

### Entry into force, expiry, amendment and notification

#### Article 43

This Memorandum of Understanding, which shall enter into force as from its signing by the authorized representatives of the Parties, shall *de facto* sanction the official establishment of the National REDD+ Fund of the Democratic Republic of the Congo. It shall be effective until its expiry.

**Article 44**

The date of expiry of the fund is set at **December 31, 2035**. Nevertheless, the role of the UNDP as Managing Agent of the Fund shall conclude on the day on which the transfer of competence becomes feasible to a National or International entity that will fulfill the services set out in this agreement, after recommendation by the Ministry of Finance and approval by the Steering Committee in consultation with the Contributors. The competence transfer procedures shall be set out in detail in the Operations Manual.

**Article 45**

Notwithstanding Article 43 above, this Memorandum of Understanding shall expire (i) on dissolution of the Fund, (ii) on termination of the Fund by the Government or (iii) on selection of a successor to the UNDP in accordance with Article 43 above, on condition that Article 46 below remains in force in respect of the purposes stipulated therein. In addition, this Memorandum of Understanding can be terminated with 180 days' prior notice by mutual agreement between the Parties, on the condition that Article 46 below remains in force in respect of the purposes stipulated therein.

**Article 46**

This Memorandum of Understanding may only be amended by written agreement between the Parties.

**Article 47**

The commitments made by the Parties under the terms of this Memorandum of Understanding shall not be affected upon expiry or termination of this Memorandum of Understanding, to the extent required to ensure orderly conclusion of the activities, completion of final reports, evacuation of personnel, funds and assets, checking of the accounts between the Parties present and discharge of the obligations contracted with subcontractors, consultants or suppliers.

The remaining balance on the Account of the Fund or in the separate ledger accounts of the Ministry of Finance or the National Entities, INGOs, Bilaterals or International Participant Organizations on dissolution of the Fund shall either be used for a purpose related to the objectives of the Fund as decided by the Steering Committee and the Contributors or, by decision of the Contributors, returned to the Government or to the Contributors in proportion to their contributions to the Fund.

**Article 48**

All measures required or permitted under the terms of this Memorandum of Understanding may be taken in the name of the Managing Agent and of the Government or the Steering Committee by the executive coordinator of the MPTF of the UNDP or his/her designated representative.

**Article 49**

All notifications or requests required or permitted under the terms of this Memorandum of Understanding shall be produced in writing. Such a notification or request shall be considered as sent and implemented when submitted by hand or sent by registered mail or by any other means of communication agreed with the Party to which it must be sent or implemented, to its address as indicated below or to any other address specified in writing by the Party sending such a notification or request.

**For the Government:****Name: Patrice Kitebi****Position: Minister delegated to****For the Managing Agent:****Name: Yannick Glemarec****Position: Executive Coordinator, MPTF Office****the Prime Minister**

## Chapter 8

### Claims and Settlement of Disputes

#### Article 50

In the event of a disagreement, claim or dispute between the Parties resulting from this Memorandum of Understanding or infringement thereof, the Parties shall endeavor to find an amicable solution by means of direct negotiation conducted in good faith.

#### Article 51

The Government agrees that the provisions of the Agreement between the UNDP and the Government concerning the assistance provided by the UNDP to the country (SBAA – Standard Basic Assistance Agreement) shall apply to the UNDP and to the members of its personnel supplying management and other support services as set out herein, but in the knowledge that the funds transferred as a contribution shall be considered as Government resources.

#### Article 52

In accordance with the SBAA, the Government shall bear all operational risks linked to this Agreement and shall be responsible for processing claims that may be laid by third parties against the UNDP, its officials or other people providing services on its behalf, and must indemnify such persons and the UNDP against any claims or liabilities resulting from the operations implemented pursuant to this Agreement. The preceding provisions shall not apply if the Government and the UNDP agree that claims or liabilities will result from gross or intentional negligence or misconduct on the part of the aforementioned Parties.

#### IN WITNESS WHEREOF,

The undersigned, duly authorized to represent the Parties for the purposes set out herein, have signed this Memorandum of Understanding in French and in English in two identical original versions, the French version taking precedence in the event of any dispute related to its implementation or interpretation.

On behalf of the Government of the Democratic Republic of the Congo:

Signatory:

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Name and position:

Patrice Kitebi, Minister Delegated to the Prime Minister, In Charge of Finance

Date:

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On Behalf of the United Nations Development Program

Signatory:

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Name and position:

Yannick Glemarec, Executive Coordinator, MPTF Office

Date:

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