

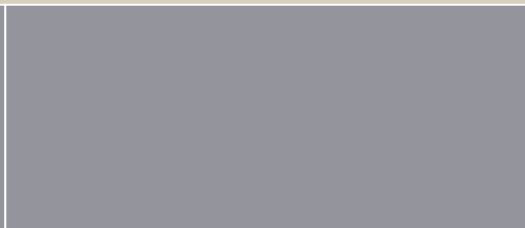
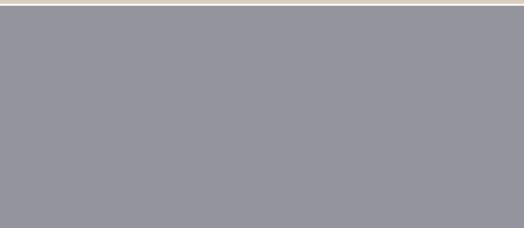


# Real-Time Evaluation of Norway's International Climate and Forest Initiative

Contributions to National REDD+ Processes 2007-2010

Country Report: Democratic Republic of Congo

Evaluation Report 14/2010



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Design: Agendum See Design  
Print: 07 Xpress AS, Oslo  
ISBN: 978-82-7548-557-9

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**March 2011**

LTS International in collaboration with Indufor Oy,  
Ecometrica and Christian Michelsen Institute



## Preface

This evaluation is part of the first phase of a real-time evaluation of Norway's International Climate and Forest Initiative (NICFI). As such, it is a major undertaking and the first of its kind for the Evaluation Department. The evaluation is conducted by a team of independent evaluators from the British company LTS International in collaboration with Indufor Oy, Ecometrica and Christian Michelsen Institute.

The evaluation was initiated in accordance with the Evaluation Department's mandated responsibility to evaluate Norwegian development cooperation and motivated by the strong interest from NICFI to draw early lessons and allow corrections to be made in 'real time'.

The primary purpose of this evaluation has been to develop a baseline for subsequent ex-post evaluations and to provide early feedback to the stakeholders and the public about preliminary achievements. As with any evaluation, the purpose is to provide feedback of lessons learned and to provide basis for accountability, including the provision of information to the public.

The evaluators have been provided with a rather daunting task, but we believe that the complexity of the evaluation subject has been well captured by the evaluators. Yet it should be recognized that not all aspects of NICFI have been evaluated at this stage and that the evaluation is not intended to give *the* answer about NICFI. It should also be kept in mind that REDD (Reducing emissions from deforestation and forest degradation) is a complex and moving target.

We would like to acknowledge the efforts made and the cooperation rendered by the initiative's staff and their development partners. We also gratefully acknowledge the support of our external advisers who have commented on the draft reports.

Our hope is that the reports from the first phase of the real-time evaluation will not only add to the experience and lessons learnt through this initiative, but as well contribute to an informed public debate about an important topic.

Oslo, March 2011



Asbjørn Eidhammer  
Director of Evaluation



## Acknowledgments

The DRC country team is composed of two experts:

<b>Name</b>	<b>Organisation</b>	<b>Responsibility</b>
Henk Hoefsloot	LTS International	Country Team Leader, institutions, ADF Fund.
Richard Eba'a Atyi	Indufor	Regional REDD strategies, participatory mechanisms

This report is one of five country evaluations undertaken under a contract held by the consortium led by LTS International and which includes Ecometrica, CMI and Indufor. Each country evaluation was the responsibility of the organisation to which the Team Leader belongs.





# Contents

<b>Preface</b>	<b>iii</b>
<b>Acknowledgments</b>	<b>v</b>
<b>Acronyms</b>	<b>xi</b>
<b>Executive summary</b>	<b>xv</b>
<b>1. Introduction</b>	<b>3</b>
1.1 General background	3
1.2 Real-time evaluation programme	3
1.3 This evaluation	4
1.4 The evaluation object – Norway’s International Climate and Forest Initiative (NICFI)	5
1.4.1 NICFI’s objectives	5
1.4.2 NICFI’s internal institutional framework	5
1.4.3 NICFI’s portfolio of inputs	5
1.4.4 National REDD Strategies	6
1.4.5 The rationale behind NICFI’s support to national level activities	6
1.5 Country context	8
1.5.1 Country profile	8
1.5.2 DRC’s REDD history, process and key stakeholders	9
<b>2. Methodology</b>	<b>12</b>
2.1 Real-time evaluation	12
2.2 The timeframe for the evaluation	12
2.3 Selection of themes and indicators	12
2.4 OECD/DAC criteria and definitions	13
2.5 Collection of evidence	14
2.6 Methodological limitations	14
2.6.1 Themes and indicators	14
2.6.2 OECD/DAC criteria	14
<b>3. Baseline in 2007</b>	<b>15</b>
3.1 National ownership	15
3.2 REDD relevant policies, strategies, plans and actions	15
3.3 MRV capacity and capability	15
3.3.1 National forest inventory	15
3.3.2 Frequency of National Communication to UNFCCC	16
3.4 Deforestation and forest degradation rates	16

3.5	Livelihoods, economic and social development and environment conservation	17
3.6	Donor support and coordination	19
<b>4.</b>	<b>Assessment of the status and progress of the national REDD process as a whole in 2010</b>	<b>20</b>
4.1	National ownership	20
4.1.1	The position of REDD in the National Agenda	20
4.1.2	Transparency and stakeholder inclusion of REDD coordination	21
4.1.3	Civil society participation	22
4.1.4	Private sector participation	23
4.2	REDD relevant policies, strategies, plans and actions	23
4.2.1	National REDD Strategy	23
4.2.2	Institutional setting for REDD	24
4.2.3	Policy content	26
4.2.4	REDD strategy and National Forest Programmes	27
4.2.5	Resource allocation	28
4.2.6	Are REDD actions addressing key policy issues?	31
4.3	MRV capacity and capability	32
4.3.1	Quality of national forest inventory	32
4.3.2	MRV stakeholders in DRC	32
4.3.3	Capacity building	32
4.3.4	Frequency of national communications to UNFCCC	33
4.3.5	Quality assurance and quality control of verification	33
4.3.6	Reference scenario	33
4.4	Deforestation and forest degradation rates	34
4.4.1	Rate of deforestation	34
4.4.2	Rate of forest degradation	34
4.5	Livelihoods, economic and social development and environment conservation	35
4.5.1	Social and environmental safeguards	35
4.5.2	Rights of tenure of indigenous peoples and forest dependent communities	35
4.5.3	Livelihoods and benefit sharing	37
4.5.4	Biodiversity and ecosystem services	38
4.6	Donor support and coordination	39
<b>5.</b>	<b>NICFI's contribution to the status and progress of DRC's National REDD process 2007-2010</b>	<b>40</b>
5.1	Overview of NICFI's contribution to REDD in DRC	40
5.1.1	Forest Carbon Partnership Facility (FCPF)	40
5.1.2	UN-REDD Programme	40
5.1.3	Congo Basin Forest Fund	43
5.1.4	Rainforest Foundation Norway	44
5.1.5	World Wide Fund for Nature (WWF)	45
5.1.6	Counsellor's presence	45
5.2	National ownership	45
5.3	REDD relevant policies, strategies, plans and actions	46

5.4	MRV capacity and capability	46
5.5	Deforestation and forest degradation rates	47
5.6	Livelihoods, economic and social development and environment conservation	47
5.7	Donor support and coordination	48
<b>6.</b>	<b>Evaluation of the contribution of NICFI</b>	<b>49</b>
6.1	Relevance	49
6.2	Effectiveness	50
6.3	Efficiency	51
<b>7.</b>	<b>Lessons learned and recommendations</b>	<b>53</b>
7.1	Lessons learned	53
7.2	Conclusions	56
7.3	Recommendations	58
Annex 1	People interviewed	67
Annex 2	List of DRC REDD Documents and references	70
Annex 3	Legal and institutional framework for forest resources management	72
Annex 4	Liste des Projets Pilotes REDD+	76
Annex 5	Propositions for early investments in REDD+ in DRC	81
Annex 6	Jeune Afrique	82
Annex 7	Terms of Reference	83



## Acronyms

AfDB	African Development Bank
AWF	Africa Wildlife Foundation
CBFF	Congo Basin Forest Fund
CI	Conservation International
CN-REDD	National Coordination for REDD
COMIFAC	Commission des Forêts d’Africa Central
DDD	Directorate for Sustainable Development
DIAF	Direction des Inventaires et Aménagements Forestier
DRC	Democratic Republic of the Congo
DSCR	Strategy Paper for Growth and Reduction of Poverty
FCPF	Forest Carbon Partnership Facility
FIP	Forest Investment Programme
GTCR	Groupe de Travail Climat REDD
ICCN	Institut Congolais pour la Conservation de la Nature
MENCT	Ministry of Environment, Nature Conservation and Tourism
MRV	Monitoring, Reporting and Verification
NGO	Non-governmental Organisation
NICFI	Norway’s International Climate and Forest Initiative
Norad	Norwegian Agency for Development Cooperation
PNFoCo	Programme National Forêts et Conservation de la Nature
REDD	Reducing Emissions from Deforestation and Forest Degradation
RFN	Rainforest Foundation Norway
RRN	Reseau Ressource Naturelles
R-PIN	Readiness – Project Idea Note
R-PP	Readiness Preparation Proposal, also called REDD Preparation Plan
UNDP	United Nations Development Programme
UNEP	United Nations Environmental Programme
UNFCCC	United Nations Framework Convention on Climate Change
UN-REDD	United Nations Collaborative Programme on Reducing Emissions from Deforestation and Forest Degradation in Developing Countries
WB FIP	World Bank Forest Investment Programme
WCS	Wildlife Conservation Society
WWF-RDC	World Wide Fund for Nature - Democratic Republic of Congo Office



# Executive Summary







## Executive summary

This report is part of a series of real-time evaluations to assess the results of Norway's International Climate and Forest Initiative (NICFI) against its specific objectives and the general objectives of Norwegian development cooperation. The purpose of this country level evaluation is to assess NICFI's support to the formulation and implementation of a national REDD strategy and other REDD readiness efforts in the Democratic Republic of Congo (DRC). The methodology of the evaluation involved setting a baseline and comparing the changes and assessing the contributions of NICFI during 2007-2010.

As Norway has no special historical relationship with DRC, NICFI supports the REDD+ process in the country through a number of multilateral mechanisms: the World Bank's Forest Carbon Partnership Facility (FCPF), the UN-REDD Programme (UNDP, UNEP and FAO) and the African Development Bank's Congo Basin Forest Fund (CBFF). NICFI also provides project funding to the World Wide Fund for Nature (WWF-USA), to act as a REDD technical advisor to governments in the Congo Basin, and to Rainforest Foundation Norway, which supports Congolese civil society. The total funding commitment so far through the FCPF and UN-REDD Programme for DRC's Readiness Preparation Proposal (R-PP, also known as REDD Preparation Plan in DRC) is US\$ 10M, and a further US\$ 20M is likely to be committed to REDD+ pilot projects through the CBFF.

DRC's forests form 60% of the Congo Basin rain forest, the second largest tract of rain forest in the world, so DRC is important if REDD+ is to succeed. By contributing to REDD in DRC, NICFI aims to enhance the understanding of REDD in the Congo Basin and showcase the possibility of meeting the twin goals of the Central African Forests Commission (COMIFAC) convergence plan, i.e. reduction of poverty and greenhouse gas emissions from forests, through implementing REDD+.

DRC is a high forest cover – low deforestation rate country emerging from a long period of political and civil instability that eroded public and social institutions. A process of forest sector reform was initiated in 2002 along with a moratorium on new forest concessions and review of old forest titles that was re-endorsed by presidential decree in 2005. The forest reform process is slow, but began to yield results from 2007. REDD was not on DRC's national agenda at that stage and DRC had no institutional or knowledge base on which to build REDD.

DRC's R-PP was developed between September 2009 and June 2010 and involved a large REDD awareness drive among stakeholders at national and provincial levels,

including a well attended Summer University on REDD. Between June and August 2010, DRC's REDD National Coordination Unit was strengthened and preparations for implementation of the studies described in the R-PP were in full swing. REDD pilot projects have been developed and are under review for funding and concepts for early REDD investment projects have been elaborated. In October 2010, the Minister of Environment, Nature Conservation and Tourism was due to hold a donor round table. Proposals have been made towards accessing the World Bank Forest Investment Programme's US\$ 60M allocation to DRC.

All in all, REDD in DRC is in the early stages of development and very much work-in-progress. The current focus is on studies, developing tools and institutional mechanisms for REDD. Much of the progress made can be attributed to NICFI support through the multilateral funds to which NICFI is the major contributor.

We find the relevance of NICFI support in DRC to be medium to high. DRC is taking its forests seriously and would like see them make a real contribution to national development. It would like to manage them for the prosperity of the country and its people and regards REDD+ as an important opportunity to do so. NICFI's support to DRC responds to all the REDD readiness components as internationally defined, and makes a great effort to build capacity in DRC's institutions. Within the short period of one year, much REDD dynamic was generated through wide stakeholder participation. The challenge will be to move the readiness process beyond the pure technical requirements to also address forest governance, land and forest tenure issues, and to roll out at decentralised provincial scale and into other key sectors such as energy and agriculture. More could be done to support DRC in developing a realistic REDD reference scenario that fits the country's needs and development realities.

The effectiveness of the NICFI financing and support in DRC appears to be medium to high. The Ministry of Environment, Nature Conservation and Tourism, with UN-REDD programme and FCPF support, has, in a very short period, made good progress towards putting REDD on DRC's development agenda and to developing plans for readiness and early implementation. So far this has been a centrally coordinated and steered process however, and insufficient thought and commitment has been given to empowerment of actors at provincial levels and of Congolese civil society through allocating capacity, resources and sharing and delegating responsibilities.

The evaluation mission found it difficult to assess the efficiency of NICFI funds used through the various different mechanisms employed. We do note that with the relatively modest funds provided so far, a large dynamic has been released and much has been achieved in little time. The quality and professionalism of the support provided to DRC through the different mechanisms is appreciated as being high.

### **Key recommendations for support to DRC REDD readiness process by NICFI and the implementing agencies it is supporting**

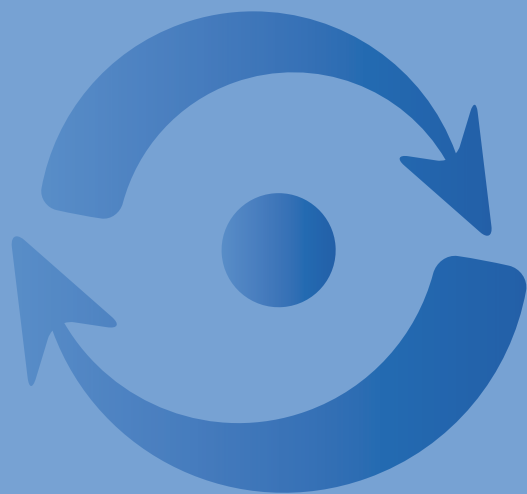
The evaluation team's recommendations are intended for follow-up by NICFI and their partners in their ongoing dialogue and partnerships on REDD+. The main recommendations are the following:

- Continue to support the implementation of the Readiness Preparation Proposal (R-PP) with vigour and through the existing mechanisms of the FCPF, UN-REDD programme, CBFF and civil society channels;
- We suggest that it would be useful to submit the CBFF to an open and formal review at an early stage to confirm the value of the direction it has taken so far and to clarify, and where necessary unblock, issues of internal and external functioning, including the size and capacity of the fund, to allow it to respond to national REDD processes. It would also be useful to consider the need to mobilise additional financial resources within (or outside) the CBFF to enable it to fund the necessary REDD+ pilot projects in DRC;
- For the DRC REDD readiness preparation process to focus more prominently on measuring 1) progress in the forest reform agenda, and 2) progress on improving forest governance. It is here that DRC's progress towards REDD readiness might best be seen;
- We recommend that NICFI considers mobilising more direct support to the land tenure reform agenda of DRC. This requires additional funds and the REDD National Coordination Unit would need to develop better operational links with relevant Ministries and other national and international organisations supporting reform of land tenure;
- At the moment REDD in DRC is generally considered as a forest sector issue. This does not enhance broad national multi-sector ownership of the REDD agenda and it may lead to tunnel vision. We propose that a number of institutional developments should be considered:
  - The REDD National Coordination Unit should gradually be moved closer to the Prime Minister's Office with Minister Endundo continuing to play a lead in mobilising national and international support and thus creating the framework for strengthening inter-sectoral coordination and resource mobilisation;
  - NICFI could support DRC in the design and implementation of a low-carbon development strategy. We are not convinced that the FCPF and UN-REDD programme would be the best mechanisms for this – it would require NICFI to develop a closer and direct relationship with DRC;
- The REDD Readiness process should give higher priority to investing in supporting land-use planning processes with a high level of local participation at provincial level. This may take a few years, but we see no short-cuts if REDD is to succeed in DRC. The DRC REDD National Coordination Unit, with support of the FCPF could request for the mobilisation of funds from within the World Bank's Forest Investment Program (FIP) for this or seek to mobilise additional early REDD investments;
- Through the REDD Readiness process, a more open dialogue should be promoted for DRC to be eligible under UNFCCC for REDD+ funding for its strong and measurable engagement to (1) sustainably manage a well defined and substantial area of national forest estate instead of going down the road of future "BAU" scenarios and; (2) develop a low (-forest-) carbon energy sector

reducing dependency on wood-energy; and (3) develop climate-smart agriculture;

- Once DRC's reference scenario is formulated, providing a clear vision on REDD in the context of DRC's future development, NICFI could, as a priority, mobilise support for the setting-up of a national early investment fund for REDD. This may require a closer bilateral relationship between Norway and DRC;
- The REDD Readiness process should support effective decentralisation of the REDD+ process and the adoption of a number of selected key "REDD+ provinces". This will require additional mobilisation of technical and financial resources and could be linked to decentralised development initiatives with other bilateral and multilateral donors.

# Main Report





# 1. Introduction

## 1.1 General background

The primary objective of the Norwegian Government's climate policy is to help establish a global, binding, long-term post-2012 regime that will ensure cuts in global greenhouse gas emissions sufficient to limit global temperature rise to no more than two degrees Celsius above pre-industrial levels. Measures to Reduce Emissions from Deforestation and forest Degradation (REDD<sup>1</sup>) in developing countries are considered necessary if this target is to be achieved (Stern 2006; IPCC 2007). To this end, The Government of Norway's International Climate and Forest Initiative (NICFI) was launched in December 2007, pledging substantial development cooperation funding towards efforts to support REDD.

## 1.2 Real-time evaluation programme

As NICFI will be managing a significant part of Norwegian development cooperation funds for several years, it is in the interest of policy-makers and the wider public to have access to impartial information about its progress and performance. The overall objectives of the real-time evaluation are to assess the impact and results of the Initiative's support:

1. For improving the prospects of the inclusion of a REDD mechanism in a post-2012 climate regime;
2. For the preparation of mechanisms and implementation of activities to attain verifiable reductions in greenhouse gas emissions;
3. For the conservation of natural forests to maintain their carbon storage capacity;
4. With regards to the general objectives of Norwegian development cooperation, such as those related to livelihoods, economic and social development and the environment.

The first three objectives refer to NICFI's main objectives, while the fourth objective derives from the use of development cooperation funds.

A real-time approach to this evaluation has been adopted in order to assess and feed back the results of NICFI to facilitate rapid learning, give advice at an early enough stage for changes in implementation to still be feasible, and provide timely information to the international community engaged in REDD and climate change

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<sup>1</sup> The terms REDD and REDD+ are used interchangeably in this report. In both instances the intended meaning is REDD-plus, as defined in the Bali action plan - "reducing emissions from deforestation and forest degradation in developing countries; and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks in developing countries".

issues. This approach is particularly valid given the intensely dynamic nature of the international debate around REDD.

In 2010 there have been two core evaluations:

1. Global level: NICFI's contribution to an international REDD regime;
2. National level: NICFI's support to the formulation and implementation of national REDD strategies.

The Norwegian government Ministries of the Environment and Foreign Affairs, which are responsible for the Initiative, are intended to be the main users of the feedback and recommendations generated by the evaluation programme. However, the wider intended audience for the evaluation also includes:

- The Norwegian Parliament, institutions, organisations, and the general public in Norway;
- Multilateral organisations engaged in REDD activities, including the UN REDD programme, the World Bank and the regional development banks;
- The international community, contributing to overall knowledge concerning the achievement of both REDD and sustainable development in general;
- The national REDD initiatives in target countries.

### **1.3 This evaluation**

The purpose of this evaluation was to assess the International Climate and Forest Initiative's support to the formulation and implementation of national REDD strategies and other REDD readiness efforts. As NICFI promotes an international REDD architecture built on national policies and measures, this national level evaluation will constitute a main pillar of the whole real-time evaluation programme. The evaluation encompassed five case-study countries: Brazil, Democratic Republic of Congo, Guyana, Indonesia, and Tanzania. These countries receive significant support from NICFI through different channels and mechanisms, they represent a range of forest types and conditions, are at different stages in the forest transition, represent different national policy contexts, and together they cover each of the three tropical continents. Consequently, NICFI support in each of these countries has been used for different purposes, including stakeholder consultations, capacity-building, institutional strengthening, demonstration activities, and application of policies and measures.

Within each of the five countries this evaluation had two main objectives:

1. Develop a methodology for the real-time evaluation of NICFI support to the formulation and implementation of national REDD strategies;
2. Establish a baseline for 2007 and evaluate the status and progress of NICFI support to the formulation and implementation of national REDD strategies as of 2010.

This document is one of five case study country evaluation reports and presents results from Democratic Republic of Congo.



## 1.4 The evaluation object – Norway’s International Climate and Forest Initiative (NICFI)

### 1.4.1 NICFI’s objectives

Norway’s International Climate and Forest Initiative was launched by Prime Minister Jens Stoltenberg during the climate change negotiations in Bali in December 2007 with a pledge of up to three billion Norwegian Kroner (US\$ 500 million) per year to reduce emissions from deforestation and forest degradation (REDD) in developing countries.

The rationale behind NICFI’s support for REDD is to make a substantial contribution in the struggle against global warming. The climate-related goals will therefore determine which support is to be initiated, continued, terminated or changed. Sustainable development and poverty alleviation are overarching goals of Norwegian foreign and development policy. Thus, in addition to the climate-related goals, these are essential goals for NICFI. In pursuing the different goals, the climate policy and the development policy should be mutually supportive.

The funding shall be used in accordance with the objectives of NICFI:

- To work towards the inclusion of emissions from deforestation and forest degradation in a new international climate regime;
- To take early action to achieve cost-effective and verifiable reductions in greenhouse gas emissions;
- To promote the conservation of natural forests to maintain their carbon storage capacity.

### 1.4.2 NICFI’s internal institutional framework

There is a high level of political drive for NICFI and three key government institutions, presided over by the Minister for the Environment and International Development, are involved in its implementation resulting in a complex structure:

- The Ministry of the Environment, in which the NICFI Secretariat is based has overall responsibility for the International Climate and Forest Initiative;
- The Ministry of Foreign Affairs, including the Norwegian missions abroad, is responsible for foreign and development policy related to NICFI, as well as the management and disbursement of funds; and
- The Norwegian Agency for Development Cooperation, Norad, provides technical advice and manages support to civil society and scientific institutions.

### 1.4.3 NICFI’s portfolio of inputs

The International Climate and Forest Initiative provides bilateral support to Brazil (Amazon Fund) and Tanzania, and civil society and research organisations through a grant scheme administered by the Norwegian Agency for Development Cooperation (Norad). The majority of financial support is channelled through multilateral entities including: The UN Collaborative Programme on Reduced Emissions from Deforestation and Forest Degradation (UN-REDD Programme, a collaboration between FAO, UNDP and UNEP); The Forest Carbon Partnership Facility (FCPF); The Forest Investment Program (FIP), The Guyana REDD+ Investment Fund (GRIF) all three hosted by the World Bank; and The Congo Basin Forest Fund (CBFF) hosted by the African Development Bank. Norway has entered into an agreement with the Democratic

Republic of Congo for the set-up of a climate change secretariat to support DRC's role as technical coordinator of African countries' positions and participation in the UNFCCC processes. NICFI contributes half of the Norwegian support to the secretariat as this function partially relates to REDD. A Memorandum of Understanding has been signed with Mexico (mainly for support to improve, develop and explore methodologies for monitoring, reporting and verification of forest-related emissions and removals), and a Letter of Intent with Indonesia (for broad support to the national REDD agenda). Disbursal of funds related to these agreements will also be through multilateral routes.

NICFI's funding at the national level to the five evaluation case study countries is delivered through a diversity of channels and mechanisms. The support to DRC, which is the subject of the present evaluation report, is mostly through multilateral mechanisms (FCPF, UN-REDD Programme and CBFF), but NICFI has also provided funding to international non-governmental organisations.

#### **1.4.4 National REDD Strategies**

Norway's International Climate and Forest Initiative regards the following as important elements of National REDD+ Strategy development<sup>2</sup>:

- Establishment of a system for monitoring forest cover and biomass, collecting forest carbon volume data, and for reporting on emission levels from deforestation and forest degradation;
- Incorporation of sustainable development concerns including opportunities for economic and social development for the local population, conservation of biodiversity and promotion of respect for local and indigenous peoples' rights;
- Establishment of systems and national plans to prevent carbon leakage and ensure lasting results;
- Thorough analyses of the drivers of deforestation and forest degradation, and the best ways of dealing with them;
- Institutional and capacity building for national and local authorities, including anti-corruption measures and measures to increase transparency in forest and land use management;
- Mechanisms for compensation for the ecosystem services of carbon storage;
- Establishment of the necessary legal, administrative and economic framework for sound, sustainable forest and land use management, and of the necessary capacity to ensure compliance;
- Cost effectiveness (maximum possible reduction in emissions per unit of expenditure).

#### **1.4.5 The rationale behind NICFI's support to national level activities**

NICFI provides the majority of its country level support through multilateral funds / initiatives or via bilateral REDD+ partnerships. Through the multilateral funds and initiatives NICFI seeks to reach a large number of countries involved in REDD+, which they would be unable to do bilaterally, to contribute to the establishment of common donor platforms, and to prevent corruption by working under the auspices of entities like the UN and the World Bank that are able to handle large cash

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2 <http://www.regjeringen.no/en/dep/md/Selected-topics/climate/the-government-of-norways-international-/why-a-climate-and-forest-initiative.html?id=547202#Strategy>

transfers safely. It is also considered important that all the relevant multilateral institutions are engaged and can contribute in a coordinated way in accordance with their comparative advantages.

The REDD+ partnerships are intended to provide the first international examples and experiences with partnerships of this nature. As well as generating climate benefits against agreed reference levels, these partnerships are envisaged to produce a wide range of experiences and lessons learned that will provide input both to the UNFCCC negotiation process and to REDD+ endeavours by other countries' and partnerships. There are six key areas in which NICFI's activities are expected to generate lessons and demonstrations. These include:

1. Modalities of funds transfer;
2. Methodologies for reference level setting in both high deforestation and low deforestation countries;
3. National-level MRV-systems; methodological and institutional choices;
4. Involvement of stakeholders, incl. indigenous and local communities;
5. Design and implementation of social and environmental safeguards in REDD+;
6. Strengthening of institutions relevant for REDD+.

Within these partnerships NICFI is obliged to adhere to Norwegian policy, guidelines and funding regulations for international development cooperation. In addition, NICFI's general responsibilities within its REDD+ Partnerships include the development of the framework documents for the partnerships in accordance with international recognised standards and rules and through dialogue and negotiations with the partner country; fulfilling any responsibilities established in the framework documents; follow up the agreements through annual meetings, comments on annual reports, etc.; and to respect partner country sovereignty in development and implementation of policies and measures in line with the Paris Declaration on Aid Effectiveness 2005<sup>3</sup>, as long as basic requirements established in framework documents and/or use of development cooperation funding are met.

The Democratic Republic of Congo (DRC) has not been a country of focus for Norway's international development efforts but is of interest to NICFI as DRC's forests form 60% of the second largest rain forest in the world, making DRC key to the success of REDD+. NICFI is not involved in a REDD+ Partnership with DRC and as Norway has no diplomatic representation in the country, support is mainly provided through multilateral channels. As DRC serves as coordinator for the African countries on their position in the global climate change negotiations, NICFI also funds a small project to support the set-up of a climate change secretariat within the DRC's Ministry of Environment, with the specific aim of strengthening the African voice in the negotiations.

NICFI's key objective in supporting the multilateral Congo Basin Forest Fund (CBFF), i.e. provision of support to activities aimed at increasing knowledge and experience of REDD in Congo Basin countries and at the same time contributing to poverty reduction, is also relevant in the context of DRC. The NICFI secretariat also consid-

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<sup>3</sup> Available at: <http://www.oecd.org/dataoecd/30/63/43911948.pdf>

ers the CBFF support of the COMIFAC Convergence Plan as a way to ensure local ownership of the activities in the region.

## 1.5 Country context

### 1.5.1 Country profile<sup>4</sup>

Forests cover 67% of the Democratic Republic of the Congo (DRC) with an estimated area of 156 million ha, 99 million of which are dense humid forests. These forests represent nearly half of Africa's rain forests. DRC's population is estimated (United Nations 2007) at about 62.6 million (25 inhabitants per km<sup>2</sup>) and is projected to reach over 88 million by 2020<sup>5</sup>. This population is very unevenly distributed across the country. The highest densities (over 100 inhabitants per km<sup>2</sup>) are found in the east along the borders of Uganda, Rwanda and Burundi and in the south-west around the city-province of Kinshasa and the province of Bas-Congo. Regions with high population densities are also those where high pressure on forest resources results in forest loss and degradation. By contrast, the central basin has a very low population density and is dominated by vast tracts of dense forest. Although the capital of DRC, Kinshasa, is the largest urban agglomeration in Central Africa (8 to 10 million inhabitants), DRC also has the highest rural population rate in the sub-region.

DRC's Gross Domestic Product equalled around US\$ 10.4 billion, and US\$ 159 *per capita*, in 2008 making DRC one of the poorest countries on the African continent (DRC's Strategy Paper for Growth and Reduction of Poverty, 2006). However, these estimates probably grossly underestimate the real economy which is mostly informal, including informal – and illegal – mineral extraction and forest exploitation. There is a lot of capital available in DRC that is easily mobilised when investment opportunities present themselves.

Forest resource management in the DRC takes place in a post-conflict socio-economic and political context, making it fragile and special in nature. After 30 years of bad management of the public sector, the State almost collapsed in the 1990s. The 1990s were characterised by looting that occurred in 1991 and 1993, followed by two armed conflicts; one in 1997 and the other from 1998 to 2002. From 2003, the country moved into a period of political transition until 2006, with the first free and democratic elections since the country gained independence.

#### Box 1 DRC Governance (World Bank 2010)

Severe governance problems and corruption continue to hamper DRC's development prospects. Corruption remains widespread and takes a heavy toll on the public sector's capacity to deliver key services. Despite its wealth in mineral resources, DRC's social and economic indicators remain among the lowest in the world, with a per capita GDP below US\$ 200. The importance of governance issues is illustrated by DRC's very low scores on various international governance and corruption indices. For example, in the World Bank's Country Policy and Institutional Assessment (CPIA), DRC ranks among the core fragile states, with a score of 2.8 in 2008. The country received one of the lowest score in the world (2.0) for transparency, accountability, and corruption in public sector. This perception is fueled by a pervasive culture of impunity and persistent instability as well as the chronic non-payment of salaries.

4 The following description is mainly derived from Eba'a Atyi et al. (2009).

5 <http://hdrstats.undp.org/en/indicators/306.html>

With peace gradually returning, DRC has embarked upon a vast programme of economic and institutional reforms in all sectors, including the forest/environment sector, since 2002. During the conflict period 1997-2002, many forest concession titles changed hands and new ones were handed out. To put a hold on this and provide time for restructuring the sector, a Moratorium on Forest Concessions was announced by Presidential decree in 2002. This Moratorium is still in place today. All existing concession titles were to be reviewed and, if found valid, converted in accordance with the Forestry Code 2002.

### **1.5.2 DRC's REDD history, process and key stakeholders**

The Democratic Republic of Congo (DRC) was quick to recognise the potential of mobilising REDD funds for its development given the country's huge forest and carbon resource. DRC's Ministry of Environment, Nature Conservation and Tourism (MENCT) has made it a priority, mobilising multi-sectoral, national and international support to develop and execute its readiness plan.

DRC's Readiness – Plan Idea Note (R-PIN) was approved in July 2008. The UN-REDD Programme began to plan its activities in DRC in January 2009 during a scoping mission together with FCPF and in September 2009 DRC's REDD National Coordination team was created by the posting of a Senior Advisor from MENCT, a communications expert and two international UNDP experts. During FY 2010 the World Bank's Forest Carbon Partnership Facility (FCPF) approved a USD200,000 grant to support DRC in the development of its Readiness Preparation Proposal (R-PP, also called REDD Preparation Plan in DRC), most of which was disbursed by September 2010<sup>6</sup>. In the meantime the World Wide Fund for Nature (WWF) and the Rainforest Foundation Norway, with funds from Norad, had developed their capacity to provide strategic support to mobilise and initiate the REDD process in a number of countries. The Congo Basin Forest Fund (CBFF), with its secretariat based at the African Development Bank, was set up in 2008, with a first call for Proposals in 2008 and a second in 2009.

The multilateral mechanisms, FCPF and UN-REDD, act as technical advisors both for process facilitation and for the implementation of specific studies. The CBFF provides funds for REDD-relevant pilot projects.

On November 26 2009, DRC's Prime Minister formally established by signature a REDD National Coordination Unit, National Committee and Inter-Ministerial Committee. Similar structures are to be created at the provincial level. The REDD National Coordination Unit has been operational since September 2009. The Unit is strategically positioned within MENCT's Directorate for Sustainable Development (*Direction de Développement Durable*). The Minister posted one of MENCT's most senior staff to coordinate this unit.

The Congolese civil society has organised itself into a Climate & REDD Working Group, (*Groupe de Travail Climat REDD*), with technical support from Rainforest Foundation Norway and funds from Norad. This group has been active since Janu-

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<sup>6</sup> <http://www.forestcarbonpartnership.org>

ary 2009 and takes an increasingly active role in facilitating the broad participation of stakeholders in REDD strategy formulation, especially at provincial and local levels.

A group of international nature conservation organisations, including the WWF, Wildlife Conservation Society, African Wildlife Foundation and Conservation International, is taking the lead in the setting up of early action pilot REDD projects. WWF in particular has taken a very active role in supporting the different countries in the Congo Basin in initiating the REDD readiness process. Two Congolese organisations, OCEAN and NOVATEL Ltd., are also actively involved in initiating REDD pilot projects

At the initiative of Minister Endundo McKinsey & Company was contracted to undertake a study on DRC's REDD potential to kick-start the readiness process (MENCT 2009). This study was carried out before the December 2009 Climate Conference in Copenhagen (COP-15) and it formed an important base for DRC's R-PP. From January to June 2010 activities primarily involved sensitisation and national consultations with a wide variety of stakeholders from different sectors. During this period activities were centred on the process of explaining REDD to stakeholders and defining the issues for DRC. A number of international REDD monitoring and review missions also visited DRC.

DRC is an active player internationally; it heads the African Union representation to formal international climate forums and is an active member of the Economic and Monetary Community of Central Africa, the Central African Forests Commission (COMIFAC) and the Southern African Development Community.

The R-PP process was facilitated jointly by FCPF and UN REDD and was endorsed in July 2010 by all main partners to DRC, though NGOs had some reservations. Some of the issues that continue to attract controversy and disagreement are the possible lifting of the moratorium on granting new logging licences as well as the definition of drivers of deforestation, such as shifting cultivation subsistence agriculture.

**Table 1 Current sources of formal finance to REDD in DRC**

Financing source	Financing to date	Interim financing	Post 2012 financing	Financing category*	Details	Partners
	Pre 2010	2010 - 12	Post 2012			
<b>millions of US\$, from present to 2013</b>						
National Government	Not assessed	Not assessed	Not assessed	1 and 2	Human, policies and measures	
World Bank FCPF	0.1	3.5	Not assessed	1 and 2	Coordination, consultation, IEC and strategy support	
World Bank FIP	Nil	60	Not assessed	2 and 3	Yet to be defined	
UN-REDD Programme	1	6.4	Not assessed	1 and 2	Design and support to all aspects of readiness plan. IEC	
CBFF	Nil	Not assessed	Not assessed	2 and 3	Pilot project support for an overall 20M\$ is being assessed	
ITTO	Nil	0.6	Not assessed	2	MRV	
<b>Total Financing</b>	<b>1.1</b>	<b>70.5</b>				

\* **Category 1: Development of national REDD+ strategies** and action plans, including consultation.

\* **Category 2: Implementation of national REDD+ strategies** and capacity building activities, including development of MRV systems and regulatory reforms.

\* **Category 3: Demonstration activities.**

\* **Category 4: Performance-based payments** for emissions reductions.

Source: [www.forestcarbonpartnership.org](http://www.forestcarbonpartnership.org)

## **2. Methodology**

### **2.1 Real-time evaluation**

The need for timely information and rapid learning calls for a real-time evaluation to progressively assess the results of NICFI with regard to its objectives and the general objectives of Norwegian development cooperation.

A real-time evaluation is distinct from a full-term or interim evaluation insofar as it is part of an ongoing process of reflection and improvement. The findings of a real-time evaluation should therefore be viewed in terms of how they can be used to adjust and improve the ongoing activities of the NICFI rather than providing definitive assessments. The real-time evaluation of NICFI aims to provide feedback to the stakeholders and a basis for subsequent ex-post evaluations.

This report represents one of five country reports from the first iteration of the real-time evaluation of NICFI's support to the formulation and implementation of national REDD strategies and other REDD readiness efforts. It is emphasised that the findings are not assessments of the final impacts of NICFI (which are unlikely to be known for several years) but are conclusions about progress and process towards the end goal.

It is expected that the real-time evaluation method will require some adjustment as NICFI evolves. This is firstly because Real-time evaluation is a new element to the overall management of the Initiative, and secondly as the external policy context develops over time, so questions and indicators that are relevant at one stage of development may be less relevant at a later stage.

### **2.2 The timeframe for the evaluation**

The starting (baseline) point for this evaluation was December 2007, corresponding to the launching of NICFI at COP-13, while the end point is October 1st 2010.

The evaluation was carried out between June 28th and October 1st 2010. The country field missions took place in August – early September, and literature was consulted until the end of September 2010.

### **2.3 Selection of themes and indicators**

A standardised real-time evaluation framework was developed that is designed to allow comparisons over time. This included the definition of a set of common indicators that (i) remain valid throughout the real-time evaluation period, (ii) can be used across countries, (iii) address the overall objectives of the real-time evaluation,



(iv) cover the issues raised in the Terms of Reference, and (iv) enable assessment of contribution of inputs from NICFI to observed progress.

The 2007 baseline for each indicator was reconstructed and compared to the situation as of 2010. In order to facilitate easy comparisons between (i) the baseline situation (2007), (ii) overall country-level progress from 2007 to 2010, and (iii) the specific NICFI contribution to the progress, the results of the country-level evaluation were summarised in a concise evaluation framework matrix. The evaluation framework is based on indicators grouped under the five following themes:

1. National ownership
2. REDD relevant policies, strategies, plans and actions
3. MRV capacity and capability
4. Deforestation and forest degradation
5. Livelihoods, economic and social development, environmental conservation

Themes 1 to 4 reflect the two NICFI climate objectives that have particular relevance at the national level: (a) to take early action to achieve cost-effective and verifiable emissions reductions, and (b) to promote conservation of natural forests to maintain their carbon storage capacity. Theme 5 reflects the recognition of REDD co-benefits and relates to Norway's development and foreign policy objectives, which apply to the Initiative and all activities that it supports.

These themes and their respective indicators are designed to encompass the whole REDD and development agenda. Although NICFI is only directly involved in, and able to influence, a subset of this (and that subset differs between partner countries), the broad scope ensures that NICFI's contribution is contextualised. Indicators that are not applicable now may also become applicable if NICFI broadens its scope in the future.

The level of achievement against each of the indicators in 2007 and 2010 was assessed as high, medium, low, and a similar system was used to assess the NICFI contribution. These assessments will provide a basis from which to monitor changes over time through subsequent evaluation visits.

## **2.4 OECD/DAC criteria and definitions**

NICFI's progress was assessed against the three Organisation for Economic Cooperation and Development / Development Assistance Committee (OECD/DAC) criteria relevance, effectiveness and efficiency. Their application within the real-time evaluation of NICFI's support to national REDD processes was as follows:

*Relevance* The extent to which NICFI's contribution across the themes and indicators has been consistent and coherent with the individual partner country's policy and development goals and needs, with wider global priorities, with other donors' goals and policies and with NICFI's overall objectives.

*Effectiveness* The extent to which NICFI's contribution across the themes and indicators whether direct or indirect, has achieved, or is likely to achieve, NICFI's objectives.

*Efficiency* Preliminary reflections on whether NICFI has targeted inputs – finance, personnel time, level and clarity of engagement – in a way that has produced outputs that have been conducive towards progress by the partner country and to achievement of NICFI objectives.

## **2.5 Collection of evidence**

Evidence was collected through comprehensive programmes of stakeholder interviews, in-depth literature surveys, document reviews of research papers, reports, and policy documents, and triangulated across the data sources and through cross-validation of key pieces of evidence between interviews. The field visit to DRC was conducted from 17 August to 2 September, 2010. The list of interviewees is provided in Annex 1.

## **2.6 Methodological limitations**

### **2.6.1 Themes and indicators**

NICFI is a very complex evaluation object due to its size and scope. While performance indicators for NICFI's overall objectives were described in the Ministry of Environment's Proposal 1 to the Storting 2008-2009, and added to in the Ministry of the Environment's Budget Proposal 2009-2010, NICFI has not developed a comprehensive logical framework with detailed indicators for the whole range of activities. For such a large and innovative activity, the lack of a full set of indicators is understandable, but it creates room for interpretation as to which themes and indicators should be included in the real-time evaluation framework.

As REDD is a "moving target" and NICFI's activities will change over time, the themes and indicators assessed in this report may be revised in the next iterations of the real-time evaluation. For the present evaluation, a set of generic indicators was developed during the inception phase and during the field work the team attempted to revise, refine and adapt these to the national situations. The development of the evaluation indicators should therefore be considered a "work in progress".

### **2.6.2 OECD/DAC criteria**

The multiple components contributing to progress against indicators make assessment and scoring against DAC criteria problematic. NICFI's early stage of implementation also makes assessment of DAC criteria preliminary and subject to interpretation, especially with respect to effectiveness and efficiency. The country reports therefore place more emphasis on the descriptive accounts of the baseline situation, REDD+ developments up to October 2010, and to the NICFI activities and their relevance.

## 3. Baseline in 2007

### 3.1 National ownership

A brief overview of DRC's forest sector is provided in Annex 3 (Legal and institutional framework for forest resource management). Reducing Emissions from Deforestation and Forest Degradation (REDD) was not part of the Democratic Republic of Congo (DRC)'s national agenda in 2007, yet forest sector reforms were already prominent. By 2007, DRC had demonstrated its interest and commitment to put in place effective frameworks for the management of its forest estate through development of the new Forest Code of 2002, the subsequent Presidential Moratorium on Forest Concessions, the conversion of old forest concession titles and the willingness to continue to reform the forest sector. Governance in the state sector in 2007, including the forest sector, was regarded as problematic by all stakeholders and partners, however, the 2006 Presidential and Parliamentary election strengthened the hope that governance in the government administration could improve. This is important as many stakeholders believe that good governance in the forest sector is the most important step towards laying the foundations for REDD in DRC. Good forest sector governance would be an indicator of national ownership in DRC.

### 3.2 REDD relevant policies, strategies, plans and actions

No REDD-relevant strategies, plans and actions other than the Moratorium on Forest Concessions were in place in 2007.

The positioning of REDD in DRC's national agenda was proposed in the CIFOR, World Bank and CIRAD publication "Forests in Post-Conflict Democratic Republic of Congo: Analysis of a Priority Agenda" (Debroux *et al.* 2007). The report identified an opportunity for developing new forest uses and financing systems beyond the usual models of timber production, parks, agriculture and small-scale harvesting by communities and local enterprises. The publication noted that Congolese supply and international demand for non-extractive forest services seemed to exist, but the connection between the two had not been established. The challenge was to establish that connection through public or private financing systems that could turn this potential market into tangible benefits for the DRC.

### 3.3 MRV capacity and capability

#### 3.3.1 National forest inventory

In 2007, DRC had little reliable forestry inventory data on which a REDD strategy could be built. A 1970s Canadian development cooperation funded project had carried out inventories covering 5 million ha of dense forests in the province of Equateur and 1.5 million in the Mayombe forests of Bas-Congo. However, these

localised inventories covered little more than 4% of DRC's national forest estate. In addition to being outdated and site specific, these forest inventories were focused towards the planning of logging activities and not entirely appropriate for REDD purposes.

Since 2005 forest management inventories have been carried out on approximately 2 million ha by logging companies. These inventories were carried out as the basis for the development of management plans for logging concessions in accordance with the Forest Code of 2002 (art. 99). Although these forest inventory data may be of limited direct value for REDD purposes, they could provide a basis from which to build on through collecting low cost supplementary information covering the same areas.

In general terms, there was very little in the way of existing capacities and established systems of relevance for the establishment of a REDD MRV system in DRC in 2007.

The need for strategic reporting on the state of the forests of Central Africa was first recognised by the Congo Basin Forest Partnership (CBFP) in 2004. The intent was to provide the various CBFP members (States, international organisations, NGOs, private sector, research institutions and civil society) a reliable basis of information to support both political and technical decision making on forest management. The Central African Forests Commission (COMIFAC), the regional body in charge of orienting and harmonising forestry and environmental policy in the sub-region, expressed the need to form a monitoring structure in order to establish baselines and report regularly on the state of the forests.

This inspired the idea for a permanent Observatory for the Forests of Central Africa (OFAC). It is financed by the European Union, France, United States, Germany and UNESCO. A first "State of the Forest 2006" report was produced supported by the USAID-funded Central Africa Regional Program for the Environment (CARPE), whose implementing partners had, by then, generated much information through biodiversity and social inventories and mapping activities. The "State of the Forest 2008" report is the most comprehensive source of information on the Forests of the Congo Basin to-date and provides a broad analyses of the REDD process in the Congo Basin and a first look at carbon stocks.

### **3.3.2 Frequency of National Communication to UNFCCC**

DRC submitted its First National Communication to the UNFCCC in 2000, however, in 2007, the DRC was not strongly engaged with, nor did it have established operational links, with UNFCCC. DRC representatives from the Ministry of Environment, Nature Conservation and Tourism did attend general meetings of the United Nations Forum on Forests, but there was no established plan to report periodically to the UNFCCC.

## **3.4 Deforestation and forest degradation rates**

The Democratic Republic of Congo (DRC) has low rates of deforestation and high forest cover. According DRC's Readiness Preparation Proposal (R-PP, also called REDD Preparation Plan in DRC) version 3.1, July 2010: "If these deforestation rates are relatively weak in comparison with the global average for tropical countries, they

must however be considered in relation to the significant forest surface, placing the DRC among the ten countries losing each year the most significant wooded area.” The primary drivers of deforestation include family farming (including slash and burn) and fuel wood harvesting around urban centres, road infrastructure development (rehabilitation), the mining industry, and commercial logging, artisanal logging and illegal logging at a large scale for exports to neighbouring countries.

DRC’s annual rate of deforestation was estimated at 0.20% per annum (Duveiller *et al.* 2008), which, despite being the highest among the Congo Basin countries, is relatively low globally. Forest degradation (quantitative degradation - change in forest cover density only), was estimated by the same sources at 0.12%. It should be emphasized that these figures were obtained using a small sample of satellite images from 1990, 2000 and 2005. However, these figures mask the real threats to forest ecosystems in DRC. In the past there was an extensive network of rural roads linking villages, so forests are fragmented and agricultural clearings several kilometres wide are gradually isolating forest blocks.

Deforestation is unevenly dispersed through DRC. It is much higher than the national average rate in heavily populated regions with a strong agricultural sector, and may approach zero in forest and savannah areas with low population densities. Subsistence farming is locally an important driver of deforestation in DRC; in the province of Bas-Congo, the territories of Bumba and Lisala in Equateur, and North Kivu, South Kivu and Ituri in the east of the country, local annual deforestation rates may be over 2%.

Besides agriculture, industrial logging was also an important driver of deforestation, less because of the logging intensity, which is very low, but more because of the road infrastructure created by logging companies. Industrial logging occurred mainly in three provinces: Bandundu, Equateur and Orientale.

The collection of fuelwood is an important driver of forest degradation and deforestation around major urban centres. The megacity of Kinshasa is located on the Batéké Plateau in a forest-savannah mosaic. Wood energy supply for Kinshasa is estimated to be 5 million m<sup>3</sup> year, and is almost exclusively harvested informally from degraded gallery forests within a radius of 200 km of the city (Marien, 2008). Peri-urban areas within 50 km of Kinshasa have been completely deforested. Degradation of forest ecosystems more than 200 km from the city is more gradual. Forests in the province of Bas-Congo (South-West of DRC) have also been degraded through intensive fuelwood collection.

### **3.5 Livelihoods, economic and social development and environment conservation**

The following is drawn from the World Bank Country Assistance Strategy (World Bank 2007) for Democratic Republic of Congo, which relates to the period 2008 fiscal year to 2011 fiscal year (Box 2 and Box 3). It provides a formal account of the state of reforms in 2007 in the public sector and the evolving institutional framework that is intended to create improvements in equity, livelihoods, social development and sustainable management of the country’s forest resources.

**Box 2 Government strengthened policies and institutions over the period 2001-2006, leading to DRC attaining the Heavily Indebted Poor Countries Decision Point in 2003**

Since 2001, with the support of the Bretton Woods institutions and others, the Government has implemented a solid program of economic reforms, including new investment, labour, mining, and forestry codes designed to make these traditionally opaque sectors more transparent, able to attract reputable foreign investors. DRC recently joined the Extractive Industries Transparency Initiative (EITI), as a further effort to increase transparency in the mining and forestry sectors. Private investment has been relatively high, mainly in the natural resource sector (about US\$2.7 billion in new investments since 2003), and now constitutes a significant share of the overall private capital flows to Sub-Saharan Africa. Better management of public finance has helped break hyper-inflation and stabilize the exchange rate. As a result, economic growth resumed in 2003, after a decade of decline, and is estimated to have been about 6 percent between 2003 and 2006.

**The challenges ahead remain daunting.** The Government recently adopted a Governance Compact with the people of DRC, under which it promises to work on a broad front. In the short-term the focus is on reforming the security sector, strengthening the judiciary, strengthening political governance (through decentralization and the increased role of the women in public life), and improving economic governance (through public finance management and anti-corruption efforts). The key challenge will be to implement this ambitious program - a long-term effort for which a substantial amount of external support will be necessary.

**Ensuring shared and sustainable growth.** The country's history suggests that economic growth alone will not necessarily translate into better living conditions for the majority of the Congolese people. The country's abundant natural resources make it particularly important to ensure better governance of these sectors. In the short term, DRC will also need to make further progress in economic management and maintaining key infrastructure. This will help to re-establish its credibility with its population, as well as externally, and allow it to negotiate a new Poverty Reduction Grant Facility (PRGF) with the IMF. Significant investments coupled with policy and institutional reforms are required to rehabilitate and expand key transport and energy infrastructure, and improve the business environment. In addition, a significant increase in public spending in support of key social sectors is necessary to alleviate dismal social conditions. If these challenges are not met, DRC will have little chance of even coming close to achieving the Millennium Development Goals (MDGs) by 2015.

### Box 3 Forest Reform Agenda (World Bank 2007)

The DRC harbours the second largest rain forest in the world. These forests are a vital source of food, income, medicine, fuel, and shelter, and they fulfil cultural needs for millions of rural poor, including indigenous peoples. They harbour unique biodiversity and store large amounts of carbon, and provide valuable ecological services.

In 2002, 43 million hectares, i.e. half the country's rain forest had been awarded irregularly and without due process with no local consultation, no environmental measures, and no consideration for alternative uses. The risk of an unregulated expansion of logging with the return of peace and improved infrastructure, in a context of institutional collapse needed to be addressed urgently and forcefully. Under the TSS, the Government addressed this legacy of mismanagement to lay the foundation of more equitable and sustainable models. Since 2002, with support from the international community, the government has:

- Cancelled 25 million hectares of non-compliant logging concessions, in 2002;
- Established a moratorium on new concessions in 2002, raised at Presidential level in 2005;
- Increased the annual area fee to dissuade further speculation on forests lands, in 2004;
- Launched a legal review of all concessions including those awarded in breach of the moratorium, engaged an international independent observer with the active participation of local community representation - ongoing;
- Established an independent logging monitoring system to help fight illegal logging, in 2007.
- Adopted a Forest Code that replaces the 1949 colonial rule, protects local peoples' traditional rights, and introduces the principles of benefit-sharing, management plans, and environmental services.

Although this reform agenda faced resistance from many vested interests, the area under concessions dropped from 43 million hectares in 2002, to 21 in 2007. This work helped restore forest people's rights, and freed up space to implement community-based management, create new protect areas, and develop innovative models that reward the DRC for carbon storage, biodiversity conservation, and other services their forests provide to the global community. Since 2004, public debate about forest management in DRC has intensified with broad and lively stakeholder participation. The consensus that emerged around this forest agenda is reflected in the Brussels Declaration of February 2007 and in a report "Forest in Post-Conflict DRC" co-authored with 14 civil society and research organisations.

Looking forward, the priority will be to consolidate the initial achievements and provide continued support to reformers. The Bank will: (a) continue to support the reform agenda especially the moratorium and the legal review as core-elements to any effort to reduce poverty and improve governance in DRC; (b) continue to help develop innovative forest management and protected area models; and (c) help strengthen the capacities of public institutions, civil society, and local communities to implement, enforce, and monitor the new policies in the field. These progressive policies have attracted international support from a wide range of donors including the Bank in the context of country as well as regional initiatives such as the Congo Basin Forest Partnership, through two IDA and GEF grants and a Multi-Donor Forest Trust Fund that is being established with the European Union, Belgium, France, United Kingdom, Germany and Luxembourg and innovative landscape management planning processes supported by the US and NGO partners.

### 3.6 Donor support and coordination

There was no donor coordination for REDD in DRC in 2007.

## 4. Assessment of the status and progress of the national REDD process as a whole in 2010

It should be noted that Democratic Republic of Congo (DRC) is still very much at the beginning of the REDD process. DRC's Readiness Preparation Proposal (R-PP, also called REDD Preparation Plan 2010 – 2012 in DRC) was formally endorsed in July 2010 by FCPF and UN-REDD and the REDD National Coordination Unit was, at the time of the present evaluation, in the process of mobilising capacity and resources for its implementation.

### 4.1 National ownership

#### 4.1.1 *The position of REDD in the National Agenda*

DRC's Ministry of Environment, Nature Conservation and Tourism (MENCT) has taken a strong lead in the REDD readiness process and REDD is high on its agenda. The minister himself has been actively mobilising support and interest across government in general, and the process is keenly followed and supported within the Prime Minister's Office. A broad-based National REDD Committee has been created as well as an Inter-ministerial REDD Committee.

Other Ministries have expressed an interest in participating and have attended a number of REDD information seminars. There are opportunities to mainstream REDD in the national development agenda, such as the current initiative of the Ministry of Planning to formulate a development vision Congo 2035 and the preparations of the second generation Growth and Poverty Reduction Strategy Paper (*Document de stratégie de croissance et de réduction de la pauvreté*, DSCRCP). However, it should be noted that the commitment to implement the first generation DSCRCP was never very strong. Inter-sectoral issues, such as the need to sedentarise and intensify agricultural production, the need to address the wood-energy issue and develop alternative energy strategies, the need to mitigate impacts of mining on forests and the environment, the need for land tenure reforms, etc., have been identified, but concrete strategies and programmes that address these issues have yet to be developed.

It is important to note that a number of REDD-relevant reforms (land tenure, mining code, public finance) are underway. DRC's REDD National Coordination Unit is keen to influence these reforms from a REDD perspective, but it is not clear how it will influence the reforms that are outside the forestry sector.

The most important message received from a number of people during the mission, including Minister Endundo, was DRC's immense need for development, for a "Marshall Plan", to kick-start the economy and improve provision of basic social and



economic services. It is a major expectation of DRC that carbon and climate compensation funds will contribute to financing DRC's Marshall Plan of the "*Cinq Chantiers*": employment, housing, water and electricity, health and education and infrastructure. Massive roads rehabilitation to re-open the countries priority roads network will naturally lead to more pressure on the forest resource. It will also lead to opening the vast rural potential for small and large scale agricultural development. It was recognised by a number of stakeholders that the agricultural potential of DRC is largely under developed and that therefore in a number of rural areas opening of DRC's potential to food and cash crop production will be a necessary development. Hence there will naturally be increased deforestation especially in prime agricultural production areas. What will DRC's development path look like from here? How should DRC's reference scenario be defined?

#### **4.1.2 Transparency and stakeholder inclusion of REDD coordination**

All stakeholders that the mission consulted were impressed by the level of participation and the level of mobilisation the process of developing the Readiness Preparation Proposal / Plan involved. Congolese civil society acknowledges not just being listened to, but also their views being considered. Most of the external missions reviewing DRC's progress have been positive about the level of participation that the Ministry of Environment, Nature Conservation and Tourism (MENCT) has been able to mobilise<sup>7</sup>. An important initiative that took place during the evaluation mission was a 'Summer University for REDD' in DRC that attracted keen interest and a higher than expected participation (over 100 participants per session for a period of 10 days) from different sectors of government and civil society.

Efforts have been made to inform key actors about REDD at the provincial level. DRC's choice of developing REDD at the national level from the beginning, brings huge challenges of how to effectively involve the decentralised provincial and local levels in the process. It is the wish of the REDD National Coordination Unit that DRC's REDD strategy will be based on, and inspired by, provincial level planning. Rolling REDD out to the provinces is seen as a gradual process and the objective is to have 4-5 provinces (out of the current 11) effectively contributing by 2012. Regular communications from the REDD National Coordination Unit to provincial Ministers of Environment have been established.

Provincial REDD Focal Points are still to be appointed. Their appointment raises a number of institutional issues that need to be resolved, such as whether to locate the focal point in the Governor's Office or in the office of the provincial Ministry of Environment. The national level REDD committees and coordination unit are to be replicated in one form or another at the provincial level. The provinces have made it clear that planning and implementation of development programmes is their mandate.

With respect to stakeholder inclusion, the REDD process in DRC is still in its formative stage. Both the National and the Inter-ministerial REDD Committees only met

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7 (1) DRC TAP Synthesis Review of DRC R-PP February 2010-09-13; (2) PC Review of DRC R-PP March 2010 (led by Norway); (3) Independent technical review of UN-REDD DRC R-PP version 2 February 2010; (4) Commentaires informelles de la Banque Mondiale au R-PP de la RDC

once and are presently defining their internal rules of operation. There is a real opportunity to build on the positive dynamics created so far. There is a need to further clarify roles and responsibilities of key actors (at central and decentralised levels) and truly empower other sectors and provincial levels to develop its vision and strategy regarding REDD. One concern of the REDD National Coordination Unit is that through its effective public information campaigns it is creating higher expectations about REDD that it can deliver in the short term.

#### **4.1.3 Civil society participation**

Civil society participation is considered to be solid and effective. A working group on climate and REDD (GTCR) was formed in 2009, the membership of which was initially dominated by the *Réseau Ressources Naturelles and Dynamique des Groupes des Peuples Autochtones* – the two largest environmental non-governmental organisation networks in DRC. It was soon recognised that its membership needed to be more diverse and also include development, human rights and indigenous peoples' rights groups from sectors other than natural resources. The GTCR is in the process of formalising a legal status, and is composed of a number of different non-governmental organisation networks – it is not a homogeneous group and it will express diverse, and sometimes divergent, visions. It is setting-up technical commissions to further reflect, study and exchange, on specific issues. In North Kivu (Goma) and in the Province Orientale (Kisangani) provincial GTCR satellites are being set-up. The UN-REDD and FCPF are playing an active role in supporting a coherent and representative GTCR and have ensured civil society participation in the preparation of the R-PP. The GTCR will receive financial support through the World Bank Forest Carbon Partnership Facility. It published its first information bulletin (No. 00 - July 2010) and it has issued a number of press releases (GTCR 2010). It generally supports the REDD process in DRC, but it is demanding government to move forward in the implementation of long standing reforms in the forestry sector and in land and mining tenure.

In this respect it is important to note that Greenpeace International (2010) has produced a paper: "REDD en RDC; Menace ou solution?"

Debate on the drivers of deforestation in DRC has been intense. This has been fuelled by two things; firstly, by a fear that those responsible for the drivers will be penalised and restricted in their activities and; secondly, by long standing criticism of the industrial forestry sector, illegal logging and corruption in the sector. However, some actors consider that civil society remains too strongly focussed on its advocacy role and not enough on positive participation in developing joined-up strategies and programmes.

Notwithstanding, civil society has been given an important role in the design and facilitation of the process of defining drivers of deforestation in the different provinces and at least 10 non-governmental organisation staff will be trained on MRV, forest and carbon inventory, starting in September 2010.

There is an important distinction between Congolese civil society (to which all the above is related and who are supported by Rainforest Foundation Norway, Rainfor-

est Foundation UK, IUCN-NL Committee, Greenpeace etc.) and the International Conservation non-governmental organisations (WWF, AWF, WCS, CI etc.). The latter are generally pro-active, playing the role of technical advisors and information brokers. Each of the two groups plays a distinctively different role and there is little exchange between the two.

#### 4.1.4 Private sector participation

REDD planning in DRC involves much discussion about the involvement of the public sector (DRC and development partners) and civil society (international and local). Less is said about the role of the private sector.

However, there is scope for private sector involvement all along the environmental services value chain. It may be noted that a local Congolese company already manages the Ibi-Batéké carbon sink under the Clean Development Mechanism system. The same company leads one of DRC's REDD+ pilot projects. A number of interviewees warned against a situation where REDD is hijacked by speculators. Greenpeace International (2010) is clearly worried about REDD credits going to private sector players such as logging companies or plantation agriculture.

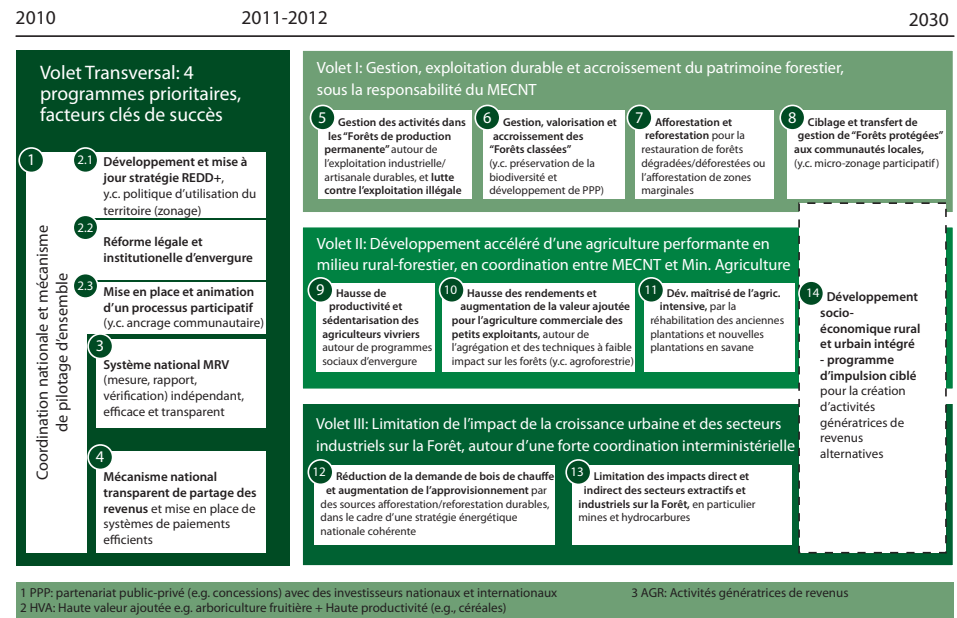
The evaluation team was unable to meet representatives from the private sector.

## 4.2 REDD relevant policies, strategies, plans and actions

### 4.2.1 National REDD Strategy

Figure 1 Preliminary strategy programmes proposed for REDD+

La stratégie REDD+ s'articule autour de 4 volets et de 14 programmes



Source: DRC's R-PP – see below for translation into English

Result area 1: Management, sustainable exploitation and increase in forest heritage under the responsibility of Ministry of Environment, Nature Conservation and Tourism

- Management and control activities in the permanent forest domain (forest concessions)
- Management and valuation of services of protected areas
- Afforestation and reforestation to restore degraded forests and afforestation of marginal zones
- Transfer of management of “public” forest to local communities

Result area 2: Accelerated development of agricultural performance in forest areas – coordination between Ministry of Environment, Nature Conservation and Tourism and Ministry of Agriculture

- Increased productivity and “sedentarisation” of small scale food production
- Rise of yield and increased value for small scale commercial agriculture
- Development of intensive large scale plantation agriculture of old plantation and new plantation in savanna zones

Result area 3: Limit the impact of urban expansion and industrial sector on forest through intensive inter-ministerial coordination

- Reduce the demand for fuel wood and increase fuel wood production from sustainable afforestation/reforestation in a coherent national energy strategy framework
- Limit direct and indirect impacts of extractive industry on the forest domain, particularly from mines and hydrocarbons
- Socio-economic rural and urban integrated development of alternative income activities

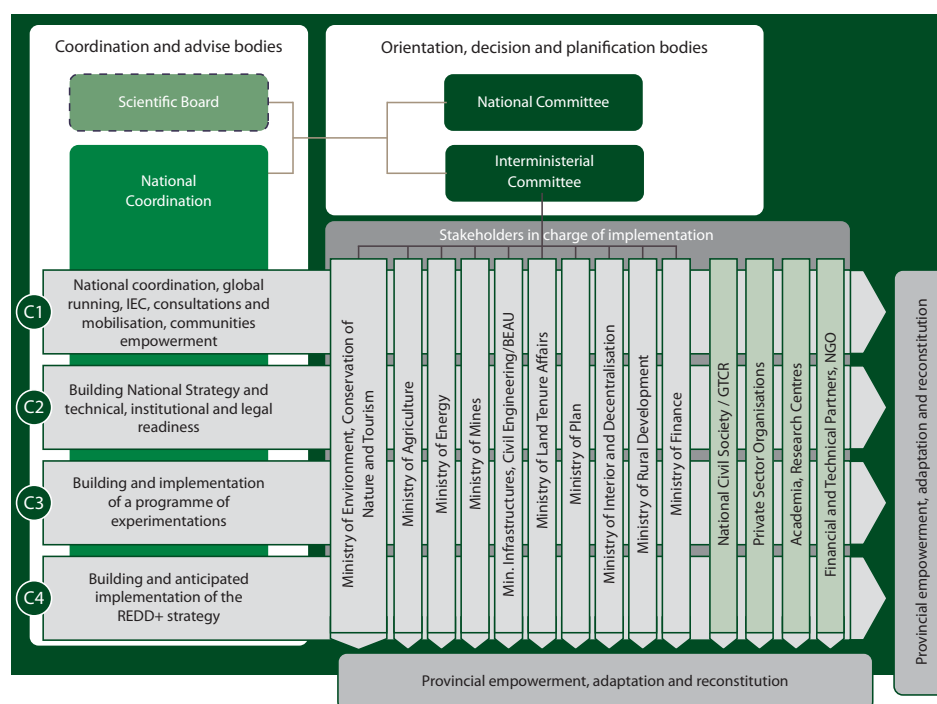
Result area 4: Priority programmes and key areas for success

- National coordination and overall leadership
- (2.1) development and actualisation of REDD strategy; (2.2) legal and institutional reforms; (2.3) putting in place and ensuring a participatory process
- National MRV system
- Transparent national mechanism of revenue sharing

#### **4.2.2 Institutional setting for REDD**

The institutional framework design for the preparation of a national REDD strategy in DRC from 2010 to 2012 is well presented in DRC’s R-PP, which is already approved by the international community. A decree by Prime Minister (decree No 09140 of 26 November 2009 to govern the DRC’s current REDD+ Readiness Phase) has established the following institutions: a National Committee, an Inter-Ministerial Committee, a National Coordination Unit, and a Scientific Board. See Figure 2 for the organisation of the REDD national process.

**Figure 2 Organisation of the REDD national process up to 2012**



Source: MECNT.

The National Committee is responsible for decision-making and strategic orientation. It defines the direction of the REDD+ process; approves the work plans of the Inter-Ministerial Committee and the National Coordination; provides for the monitoring, control and evaluation of the REDD+ process implementation; and implements the national fund and establishes the forms of management and redistribution of subsidies and resources deriving from REDD+ (MECNT 2010). The National Committee consists of 14 members, including members from the DRC administration, civil society, private sector and academia. The National Committee is chaired by the Secretary General of Environment and Nature Conservation in the Ministry of Environment, Nature Conservation and Tourism.

The Inter-Ministerial Committee is responsible for planning the implementation of the National Committee's decisions. It also designates responsibility for the execution of these decisions to relevant state structures and experts, both national and international. The establishment of this committee reflects an acknowledgement in DRC of the interconnectedness of forestry and other sectors. The Inter-Ministerial Committee currently includes the following ministries: Environment, Nature Conservation and Tourism (president); Agriculture; Energy; Mines; Land Tenure Affairs; Planning; Rural Development; Housing and Urban Planning; and Finance (members). The Ministry of Interior and Decentralisation and the Ministry of Infrastructure, Public Works and Reconstruction are not included in the Inter-ministerial Committee, yet both took part in developing DRC's R-PP.

The REDD National Coordination Unit assists in the proper functioning of the authorities responsible for REDD+ orientation, decision-making and planning (i.e. the National Committee and Inter-Ministerial Committee). As its name suggests, it

also provides for coherent REDD+ implementation by supporting and coordinating different stakeholders. The National Coordination Unit was established before the National Committee and the Inter-Ministerial Committee, in May 2009.

The institutions described thus far are those for the current REDD+ Readiness Phase (2010 – 2012). The R-PP also provides a preliminary vision of an institutional framework for future REDD+ implementation. Provision is made for several functions, including decision-making, planning and implementation management, coordination, dialogue and dispute resolution, funding centralisation and auditing. It is foreseen that the decision-making and planning functions will be placed under either the Prime Minister's or the President's office, and that the coordination function will be linked to the Ministry of Environment, Nature Conservation and Tourism.

#### **4.2.3 Policy content**

DRC's R-PP responds to all the internationally defined REDD readiness components: Management of readiness; Stakeholder participation; REDD strategy options; Reference scenario; Implementation framework; and National MRV system.

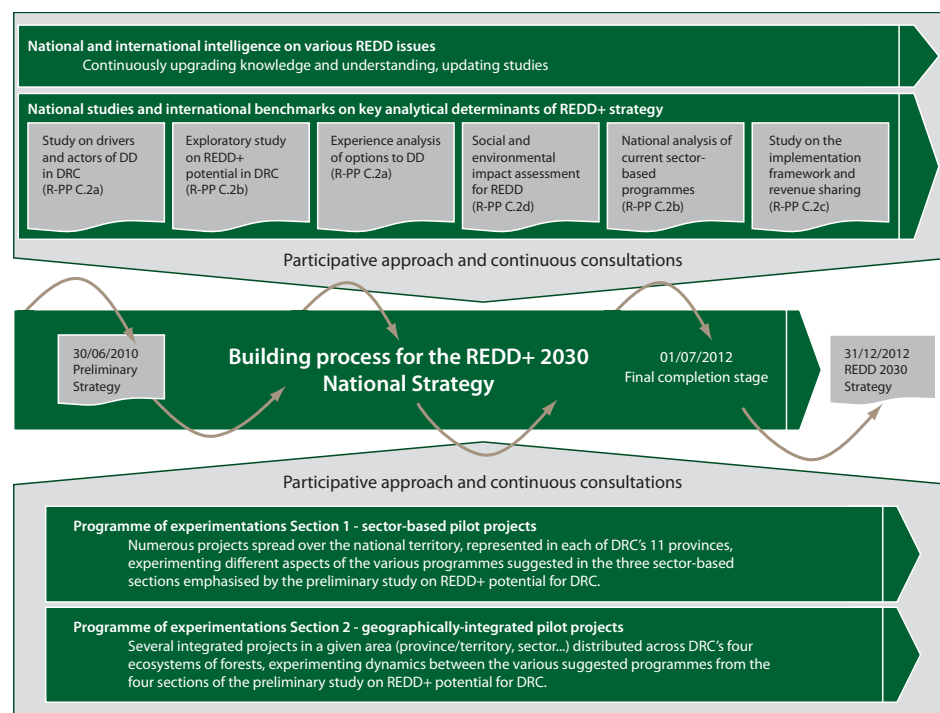
The most immediately REDD+ relevant policies and strategies are those addressed by the forestry sector reform programmes, including review and conversion of forest titles, the macro- and micro- forest zoning plan, elaboration and approval of application texts on the 2002 Forestry Code, in particular the decree attributing local community forests and its application modalities, forest law enforcement and control, and the new texts on Social Responsibility Contracts ("*cahiers de charge*") for forest concession holders with particular reference to benefit and revenue sharing with local councils and communities.

Actors consulted during the country evaluation indicated that important reforms necessary for effective and equitable REDD architecture were: (1) land-, forest- and mining tenure; (2) the need to harmonise the Forestry, Agricultural and Mining Codes; (3) reform of public finance institutions, decentralised finance management mechanisms, setting up and management of a national REDD (and / or Payments for Environmental Services) fund; (4) implementation of decentralisation; (5) public service reform in general; (6) a comprehensive (sustainable) national energy strategy that aggregates local energy needs; (7) national policy on bio-fuel development<sup>8</sup>; (8) mining sector reforms and dissemination campaigns. However, as already noted above, the REDD readiness process cannot be seen to replace the public sector reform, nor can it define its pace, REDD can only be an element in these reforms.

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<sup>8</sup> Until 1973 DRC was a big producer of Palm Oil, with in Equateur Province alone some 90,000 ha under Oil Palm production. All of this is no longer under production but could be opened up again. A policy/strategy for bio-fuel is being developed with main focus on *Jatropha* production in isolated Savanna areas.

**Figure 3 Building process for the REDD+ 2030 National Strategy (MECNT 2010)**



It is important to note that many stakeholders stressed that to have a good foundation on which to build REDD+ it would be necessary to go beyond sectoral zoning of the landscape for defining forest categories (which falls within the remit of Ministry of Environment, Nature Conservation and Tourism) and develop generalised land-use plans (*Plan d'Aménagement de Territoire*) at the provincial level. This would provide a multi-sector vision for the use and management of the territory (agriculture, forestry, mining, roads and urban infrastructure development, energy requirements, etc.).

#### **4.2.4 REDD strategy and National Forest Programmes**

A major policy instrument, the National Programme for Forestry and Nature Conservation (*Programme National Forêts et Conservation de la Nature*, PNFoCo) was first drafted in 2006 and revised in January 2009. It aims at translating DRC's strategic priorities for forestry into a coordinated action.

Although the PNFoCo was not developed to address REDD related issues, it contains a number of activities that have the potential to contribute directly to a better design of the REDD strategy for DRC. The activities of high interest are:

- Capacity building of provincial Ministries of three provinces (Bandundu, Equateur, Orientale): the capacity building of the PNFoCo could easily incorporate aspects of interest to REDD;
- Pilot projects: resources devoted by the PNFoCo to implement pilot projects in the field could be utilised for pilot projects that are of interest to REDD;
- Consultations: the PNFoCo has devoted resources to promote the participation of civil society in forest management on consultation forums at the provincial

and national levels, REDD related issues could be discussed during the same consultation processes;

- Social safeguards: The PNFoCo has planned to finance activities related to the implementation of social safeguards in forest management. Since social safeguards are also relevant to REDD, the two strategies could build synergies on that;
- MRV: PNFoCo has planned to create systems for the management of information on forest resources; such systems can be adapted to also manage information on forest carbon;
- Land use planning (Zoning): the development of a master land use plan (zoning plan) for the whole country or some provinces foreseen by the PNFoCo would have considerable impact on the REDD strategy.

Other sector programmes that should be mentioned are the International Development Association/World Bank's *Projet Forêt et Conservation de la Nature* (US\$ 70M - Conservation infrastructure, capacity development etc.), the Support to the Forest Sector by Japan (US\$ 20M - forest inventory, MRV, zoning) and the Central Africa Regional Programme for Environment/Congo Basin Forest Partnership (US\$ 20M - Management of Protected Areas, participatory mapping and land-use planning, community based natural resource management, monitoring forest trends).

#### **4.2.5 Resource allocation**

At the time of the evaluation it was foreseen that of the overall budget required to implement the REDD Preparation Proposal / Plan, about half would be financed through the UN-REDD Programme and the Forest Carbon Partnership Facility, and most of this is secured. The remaining US\$12 million is being sought through co-financing. DRC's REDD National Coordination Unit did not consider financial resource mobilisation to be a major problem. See also Table 1 on current funding in section 1.5.2.

Whilst the studies and Monitoring, Reporting and Verification (MRV) activities of the R-PP may be sufficiently financed, the second pillar of developing the REDD strategy, the pilot projects, have not yet been financed. These pilot projects (Annex 4) are expected to be financed through the Congo Basin Forest Fund, which is expected to decide on final approval in October-November 2010.

DRC's R-PP includes little in the way of direct funding to empower Provincial REDD Coordination Units to develop their activities. Also Congolese Civil Society and the *Groupe de Travail Climat REDD* are, at this stage, unsure of funding to enable them to fully participate as equal partners in DRC's REDD strategy development process.

The World Bank Forest Investment Program has a fund of 60M\$ for early investments in REDD in DRC. These funds have not yet been allocated and the Director of the Ministry of Environment, Nature Conservation and Tourism's Directorate of Sustainable Development (*Direction de Développement Durable*, DDD) would like to see that some 20M\$ are reserved for investments in land-use planning in the provinces. Otherwise the funds are likely to be used for REDD early investments in



sustainable wood-energy (charcoal production and improved cooking stoves), reforestation and afforestation.

In the tables below we present an overview of the status of funding (as of September 2010) for REDD+ in DRC. The information in these tables was provided by the UNDP team of DRC's REDD National Coordination Unit. To this date only multilateral sources supported by NICFI have engaged with DRC, but Minister Endundo has called for a Donor Conference in October 2010. The REDD National Coordination Unit is quite confident that funding the REDD preparations will not pose a problem. The Unit has received a number of promises of funding and is expecting the donor round table to have a positive impact. Discussions are in progress with the National Forest Sector and Conservation Program (PFCN) and the Canadian Cooperation and with the Japanese as regard MRV.

A number of actors expressed frustration and concern that, unlike countries such as Brazil and Indonesia, DRC has not received a promise of a REDD National Investment Fund. This makes it difficult to build confidence with national actors, especially outside the forest sector, who question whether REDD+ will really be an important enough opportunity to consider when deciding on DRC's development strategy. We believe that, as a consequence, DRC is still thinking small when it comes to engaging on a low-carbon development path.

**Table 2 Overall funding needs and secured REDD Readiness Process 2010 to 2012**

	Total 2010 - 2012	Secured	In process	Other sources
<u>Component 1:</u> National Coordination Unit, leadership, mobilisation etc.		10.7M\$ of which: UN-REDD tranche 2: 5.5M\$		12M\$ to be secured of which 5.2M\$ for MRV.
<u>Component 2:</u> development of national strategy, technical tools, jurisdiction ant institutions	22.7M\$	3.4M\$	-	Round Table (Foreseen for Oct. 2010)
<u>Component 3:</u> development and implementation of experimentation and REDD pilot projects	+/- 50M\$	-	+/- 30M\$ CBFF	Co-finance case by case
<u>Component 4:</u> development and implementation of anticipated REDD strategy	>500M\$	60M\$ FIP / BM	FIP / BM PNUD	Bilateral and multilateral donors

**Table 3 Financing the REDD Preparation Plan 2010 – 2012**

		Budget REDD Preparation Proposal / Plan	Secured from UN-REDD, FCPF and ITTO	In progress	Sought
Result area 1: Organisation and consultations	1a. National management of REDD preparation	3,215K\$	2,169K\$	-	1,048K\$
	1b. Consultation and participation of stakeholders	2,365K\$	1,065K\$	-	1,300K\$
Result area 2: Preparation of REDD strategy	2a. Evaluation of land use, forest policy and governance	433K\$	433K\$	-	-
	2b. Strategic Options of REDD	1,912K\$	1,462K\$	-	489K\$
	2c. Implementation framework of REDD	3,375K\$	795K\$	-	2,580K\$
	2d. Social and environment impacts of REDD	1,020K\$	420K\$	-	600K\$
Result area 3:	3. Development of reference scenario	980K\$	855K\$	-	125K\$
Result area 4: Design of monitoring system	4a. MRV Carbon	8,410K\$	3,160K\$	5,200K\$	-
	4b. MRV co-benefits	1,000K\$	400K\$	-	600K\$
Totals		22,710 K\$	10,759 K\$	5,200 K\$	6,742 K\$

#### **4.2.6 Are REDD actions addressing key policy issues?**

As few concrete actions are currently being implemented, it is really too early to assess this. The actions described in the REDD Preparation Proposal / Plan cover the minimum of what would be necessary for REDD preparedness. At this stage it is all very technical and, as has been noted, is mainly related to the forest sector.

The REDD National Coordination Unit / Ministry of Environment, Nature Conservation and Tourism is developing a proposal for early investment in REDD+ for DRC. They presented this at the REDD Summer University in August 2010. The project ideas seem to be widely accepted but some are more realistic than others. All of them do address key REDD+ issues and some are in line with and complementary to the REDD Preparation Proposal / Plan (such as Land-Use planning and zoning and harmonizing land/forest/carbon tenure).

#### **REDD pilot projects as part of the REDD Readiness process**

The REDD pilot projects that have been developed primarily involve testing the “how-to” of REDD. As these projects will operate at the local level, they will not address the problem of leakage at, or beyond, the landscape level.

The process of developing these pilot projects was considered to have been very useful as it led to harmonisation of REDD pilot approaches, the early establishment of a REDD project registry, a high learning curve through the open consultation process at local and national levels. The main criteria for pilot project development were that they would address key drivers of deforestation and that they would be test cases in how to involve provincial and local governance councils and local and indigenous communities in REDD strategy and action development and subsequent REDD benefit sharing. The projects mainly address the development of Community Based Natural Resource Management, land-use and micro zoning, “sedentarisation” and intensification of agriculture and agro-forestry and the wood-energy production and consumption cycles. They include important elements of Monitoring Reporting and Verification (MRV) development and testing and processes aimed at drawing local communities and local government into actively participating in early definition of REDD strategies and of REDD learning.

Not all projects are geographically integrated; some confine themselves to (participatory) conservation area management without addressing surrounding land-use issues. All projects may face the problem of not being able to measure leakage outside the geographical project area. All have a strong requirement for MRV and, as there is not yet a national MRV system in place, it will be a real challenge to coordinate and ensure synergy between methodologies developed in the different projects. The REDD National Coordination Unit is aware of this.

### 4.3 MRV capacity and capability

As already mentioned in preceding sections, there is currently no Monitoring Reporting and Verification (MRV) capacity or capability in place in 2010. However, it is expected that the situation will evolve rapidly before the end of 2012.

#### 4.3.1 Quality of national forest inventory

The Government of Democratic Republic of Congo (DRC) is currently receiving the support of international organisations including the International Tropical Timber Organisation (ITTO) and the Food and Agriculture Organisation of the United Nations (FAO) as part of UN REDD to implement a national forest inventory that would satisfy international standards for REDD. The new forest inventory process has already been launched with the support of ITTO which has mobilised more than 0.6M\$ to train forest inventory specialists. The first training session took place in July 2010 and it is expected that, before the end of 2010 about 100 forest inventory specialists (10 team leaders, 40 deputy team leaders and 50 field measurement specialists) will have been trained.

#### 4.3.2 MRV stakeholders in DRC

The main stakeholders from the Ministry of Environment are *Direction des Inventaires et Aménagements Forestier* (DIAF) and *Direction de Développement Durable* (DDD). Other stakeholders include the University of Kisangani, the University of Kinshasa, non-governmental organisations, local communities and private sector operators. DIAF is expected to be the leader for forest inventory, and monitoring of the forest resources through remote sensing techniques. DDD will be leading the inventory of greenhouse gases and reporting to the United Nations Framework Convention on Climate Change (UNFCCC). The Universities and the non-governmental organisations are to be involved in training of personnel. Communities and private sector operators are expected to contribute to verification at field level.

These stakeholders will be supported by international partners, principally the FAO as part of UN REDD and the Global Environmental Facility (GEF). A draft program on MRV has been developed as collaboration between UN REDD (esp. FAO), COMIFAC and INPE (Brazilian Space Agency) for each country in the region, including DRC, which will be finalized by June 2011. The development of the program has been financed by CBFF. The cooperation between COMIFAC and Brazil is a promising example of south-south cooperation in this field.

#### 4.3.3 Capacity building

With relation to MRV, in addition to the training of 100 people in forest inventory, training is also expected to be given on:

- The UNFCCC and guidelines of the Intergovernmental Panel on Climate Change;
- Geographical Information Systems and remote sensing;
- The preparation of greenhouse gases inventory reports to the UNFCCC.

Methodological approaches for sampling are still being developed with FAO, but it remains to be seen whether data gathered from pilot projects and from forest

inventories conducted in concessions can be used in order to reduce monitoring costs, whilst satisfying international standards.

#### **4.3.4 Frequency of national communications to UNFCCC**

DRC submitted its Second National Communication to the UNFCCC in November 2009.

#### **4.3.5 Quality assurance and quality control of verification**

Since DRC is still in the early stages of REDD preparedness, nothing has yet been defined with respect to independent monitoring, verification and reporting (MRV).

#### **4.3.6 Reference scenario**

It has been widely recognised that developing country parties, in establishing forest reference emission levels and forest reference levels, should do so transparently taking into account historic data, and adjust for national circumstances, in accordance with relevant decisions of the Conference of the Parties.

The reference scenario requires the following information:

- Land cover map focussing on mature forests, degraded forests, fallow agriculture, permanent cropland, mining field, road infrastructure;
- Carbon stock data obtained through inventory;
- Estimates of deforestation rates and drivers of deforestation;
- Detailed timber harvesting data and timber harvesting methods;
- Socio-economic and human development indices of local communities;
- Local and national governance indices;
- Knowledge of economic development policies and plans.

McKinsey and Company were hired late 2009 to assess DRC's potential for REDD. The McKinsey report<sup>9</sup> was initiated under the direct request from Minister Endundo and financed by DRC's Multi Donor Trust Fund managed by the World Bank, which was not linked to REDD NICFI funding. It is important to mention this here, because the R-PP was largely inspired by this study. The study proposed that DRC to be compensated for reduced deforestation against a projected "Business As Usual" reference scenario of 0.4-0.5% annual deforestation, which equates to 420 Mt CO<sub>2</sub>/yr. However, DRC and the other COMIFAC countries, are currently struggling to promote and gain recognition for the concept of a Reference Scenario based on projected future deforestation rates against which emissions reductions might be achieved through forgone deforestation. How the particular "national circumstances" will influence the DRC's development and carbon scenario for REDD hasn't yet been defined.

It is instructive to read what the Debroux et al. (2007), World Bank, CIFOR and CIRAD had to say on *land-use planning*:

*"The DRC has about 145 million hectares of forest, of which about 86 million hectares are rain forest. Forests cover about 62 per cent of the national territory. Including*

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<sup>9</sup> MECNT: Potentiel REDD+ de la RDC; RDC, Décembre 2009

savannahs and aquatic environments, natural landscapes account for about 91 per cent of the territory. Farmlands, cities and other non-forest uses account for only about 9 per cent of the territory. The question now for the DRC is how to make the best possible use of its vast natural areas. The return of peace is probably the first opportunity for the DRC to look at its own resources in a holistic and structured manner, and for the international community to participate in the land-use planning of the second-largest block of tropical forest in the world.

*Land-use planning is central to the country's overall recovery dynamics. Forest decisions must be placed in the context of the broader development agenda, and will need to be aligned with priorities of other sectors. Infrastructure and industrial projects are likely to start before a participatory forest land-use plan is available for the entire country. Areas that are still relatively free today may soon be occupied, with or without a forest land-use plan, and latitude for a participatory planning process focused on forest uses is likely to dwindle rapidly. It will therefore be necessary to seek a trade-off between quality and duration of planning efforts."*

## **4.4 Deforestation and forest degradation rates**

### **4.4.1 Rate of deforestation**

The current average deforestation rate in Democratic Republic of Congo (DRC) is estimated at 0.20% (Wasseige *et al.* 2008). According to the DRC's R-PP "In the Democratic Republic of the Congo, causes of deforestation and degradation are not well documented and not subject to consensus". There is much debate about whether subsistence agriculture or industrial forest exploitation is the most significant driver in DRC. It is acknowledged in the R-PP that analyses of deforestation drivers are preliminary and that thorough assessments are required, which will help build national consensus.

The REDD National Coordination Unit is currently conducting this assessment of deforestation with the support of UN REDD (FAO), which is one of its first activities. The study involves three steps:

1. A literature review (which has been completed);
2. Consultation of stakeholders in the 11 provinces to draw a consensus on the drivers of deforestation; and
3. A country-wide analysis of satellite images from the years 1990, 2000, 2005 and 2010, to be undertaken with the support the Catholic University of Louvain of Belgium.

The results of this study should be available before the end of 2010. The results are expected to include historic and current deforestation rates to 2010 and an extensive description of the drivers of deforestation in DRC. The CARPE program of USAID is also committed to obtaining and analysing satellite images on a yearly basis to study deforestation in DRC.

### **4.4.2 Rate of forest degradation**

Comprehensive forest degradation data for DRC was not available at the time of this evaluation. The only information currently available is presented in the 2008 State of the Forests Report, which estimates degradation at 0.12%. A new assess-

ment is expected before the end of 2010. However, there is a lack of consensus on the methodology to be used in the producing forest degradation estimates. The methodology currently used is based on quantitative changes of the forest cover density and is quite reliable, but some stakeholders pointed out that there is a need to include elements such as the change in species composition as part of the degradation assessments. Logging is very selective in DRC and may gradually lead to the scarcity of desired species.

## **4.5 Livelihoods, economic and social development and environment conservation**

### **4.5.1 Social and environmental safeguards**

A social and environmental impact assessment is to be undertaken as part of DRC's Readiness Preparation Proposal / Plan. The terms of reference for this assessment are currently being finalised, and will be piloted using Forest Carbon Partnership Facility technical assistance with input from the UN REDD Program. It is really too early to assess how social and environmental issues associated with REDD in DRC will be dealt with and indeed to fully understand exactly what the issues are, even if the R-PP makes a first attempt at identifying some of the issues. During the mission, most actors interviewed were conscious of the importance of transparency in building in social and environmental safeguards. This is an important positive reflection of the work of both UN-REDD and FCPF.

### **4.5.2 Rights of tenure of indigenous peoples and forest dependent communities**

Land and forest tenure (*droits foncier*) is seen by all interlocutors as a major issue requiring review and reform in order to generate a positive impact on land-use and ensure effective participation of indigenous peoples and local communities in the REDD process. It is highlighted as an issue, but not directly addressed, in the Readiness Preparation Proposal / Plan. However, there is a clear need for land tenure issues to be addressed in order to build confidence with civil society, the international community, with local people and local government. Aside from the funding mechanism to be developed, tenure is the largest issue in determining how different actors will participate (or not) in REDD.

On forest tenure in DRC, ownership rights are clearly established with the state, while local communities have the right of customary possession. There is a fine line between the two and the Ministry of Environment, Nature Conservation and Tourism is in the final process of adopting legal texts that would facilitate increased formalisation of customary "holding" rights with local and indigenous communities. It proposes to define and allocate Local Community Forest Concessions based on forest lands that communities hold in customary possession. This is a very important development that would formalise the possibility of the community taking, under agreement with the state, possession of its forest estate and to engage in co-management and forest resource use contracts with third parties.

These texts are a new and exciting development very relevant to REDD+, however, adoption needs to be finalised and it will take years to develop the necessary capacity for implementation. Implementation will require sensitisation of state,

non-state and community actors, many of whom at present exert “rights” over handing out forest resources to third parties. The capacity to support local communities and indigenous peoples to co-manage their forest environment will also need to be developed. As allocation of these Local Community Concessions will be based on participatory micro-mapping executed by communities themselves, large efforts in land-use planning will also be required. This clearly is a major exercise. Capacity in new community institutions will also need to be developed as traditional customary institutions have been corrupted in their response to external pressures and demands in the allocation of land and forest resources. The risk of enhancing conflict over resources within the communities themselves needs to be taken seriously.

Debroux et al. (2007), CIFOR, World Bank and CIRAD propose that:

*“Conduct participatory, multipurpose forest land-use planning. Forest land-use planning should be done in a participatory manner with local consultations, and be based on the principle of prior, free and informed consent. This process should take account of all possible forest uses, and help prevent social conflicts. As a bottom line, local communities’ uses should be mapped and their rights secured, with special attention to the indigenous peoples. New parks, community forests, concessions, and other uses would be identified in non-disputed zones. The process would come up with indicative maps that have no immediate legal relevance. Actual decisions would be made later on a case-by-case basis following gazetting procedures that also include local consultations.*

*Develop community forests. There is little experience of legally recognized community forests in the DRC. The challenge will be to develop simple systems, accessible to village communities, including indigenous groups, but not easily diverted by unscrupulous brokers, especially in forest areas where timber attracts major financial interests. New approaches whereby management contracts between the government and local communities make the latter responsible for managing their own forest, as currently being developed in the Eastern DRC, should be pursued.”*

In summary, the Ministry of Environment, Nature Conservation and Tourism is responsible for clarifying forest use and forest rights. A number of policies that the Ministry is currently developing will contribute to defining forest tenure locally, and with other stakeholders:

- Macro-zoning of forests in the main forest belt provinces of Bandundu, Equateur, Orientale and Maniema will broadly define who will be the delegated management holder of the forest resource (Permanent production forest - industrial logging holders; Protected forest - Local communities and possibly local councils; Classified – Institut Congolais pour la Conservation de la Nature). The implementation of forest policy will define how the other stakeholders will participate in practice. In all cases, this will be a delicate balance.
- A number of decrees and application texts, including (1) the decree on attribution of community concessions and the application texts on practical modalities; (2) the application texts on Social Responsibility Contracts (“*cahiers de charge*”) for concession holders etc.;



- In all cases, the precise formulation of the texts and mode of adoption by the Ministry of Environment, Nature Conservation and Tourism will largely determine whether these new policies build confidence, or to the contrary, strengthen mistrust. In DRC a lot of energy is invested in developing texts through broad consensus. However, experience has shown that this can easily be frustrating.

A number of actors interviewed felt that the REDD process was positively contributing to resolving some of these issues and advancing forest policy that will enable sustainability and equity on forest management; that the international REDD architecture provides incentive for improving national forest governance architecture; and that the coming two years covered by the Readiness Preparation Proposal / Plan should be sufficient to observe whether real progress on these policy reform issues will be made.

Some important indicators of the level of recognition of rights and roles of indigenous peoples and local communities in the REDD process in DRC include:

- Establishment of “Free, prior and informed consent” for those affected by international and national REDD actions, including access to an international review system that provides non-state actors the opportunity of recourse to an appeals body;
- Support for key areas of national implementation, including land tenure reform, strengthening civil society organisations, involvement of local governments, and participation of indigenous peoples and local communities in Monitoring, Reporting and Verification (MRV) systems.

It will be important to monitor these process indicators. At this stage, the national process is very much aware of this and there are efforts to respond accordingly.

#### **4.5.3 Livelihoods and benefit sharing**

Information on the importance of forest-based income to rural households is not yet available. The REDD National Coordination Unit is working with the World Bank to include collection of these data within a household census it is supporting. However, results are not expected before December 2012.

Debroux *et al.* (2007) state that:

***“Forests are essential for Congolese people.***

*The vast majority of rural people in the DRC rely on the forest for their livelihoods. From it they derive most of their protein, medicine, energy, materials, and cash income. This also applies to the urban population to some extent. Some groups, especially the Pygmies, rely on forests almost entirely. Wood and charcoal provide 80 per cent of all domestic energy consumed in the DRC. Small-scale informal loggers produce most of the timber used locally. Bushmeat is a vital source of food. Annual consumption is estimated at over one million ton. The Congolese people also use hundreds of forest plants for food and condiments, and even more for medicines. Slash-and-burn agriculture depends on forest to reconstitute soil fertility. The social and cultural significance of forests for forest people is almost immeasurable.”*

A number of actors stress that DRC's forests currently support at least two thirds of Congo's population through subsistence and informal economies, so any decision affecting forests, must take that into consideration first and foremost.

The mode of REDD benefit sharing has not yet been defined in DRC and there has been no public debate on the issue. Some of the planned REDD pilot projects will develop different forms of benefit sharing, including directly funding local communities for forest retention (highly criticised by some) to social services provision through Payments for Environmental Services to providing support (advice, input, credit) for local entrepreneurship. It is hoped that these pilot projects will provide experience from which bankable projects will emanate.

A number of actors interviewed considered that uncertainty about the form that REDD payments will take, as well as the lack of definition and clarity about REDD funds management and sharing, is a major stumbling block in defining the REDD strategy. Many are of the opinion that until there is clarity over the fund and payment mechanism, there will continue to be confusion among local actors and local communities. Without this clarity, it is difficult to understand and explain what REDD is all about. Achieving clarity is clearly part of the REDD Readiness Process and we understand that this is regarded as a high priority issue for the REDD National Coordination Unit, which is planning to launch a dialogue and study on revenue sharing and management, guided by a task force, in September 2010.

#### **4.5.4 Biodiversity and ecosystem services**

##### **Conservation forest**

Currently, 11% of DRC's national territory is gazetted as different forms of protected area. A new protected areas policy is under consideration by the Prime Minister's Office and DRC aims to increase protected areas coverage to 15%. This may include protected areas under community management. Both the government and some of its international partners seem strongly committed to supporting the effective management of DRC's protected areas network.

##### **Certified production forests**

There are currently no production forests certified as sustainably managed in DRC, however a number of timber companies are keen to follow the lead of neighbouring countries that have Forest Stewardship Council certified forests. The current situation is strongly influenced by sector reform and some expect that once forest reform is close to completion, providing the framework for certification, the private sector in DRC will follow fast. Already, one logging company has obtained a legality certificate for a concession of 195,500 ha. Another has arranged a Forest Stewardship Council pre-audit for sustainable management in its concession. Another important development in forest governance and legality of timber for export is that DRC is poised to enter into FLEGT/VPA negotiations with the European Union soon<sup>10</sup>.

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<sup>10</sup> From FERN EU Forest Watch Issue 154 November 2010: On 21 October 2010, the Democratic Republic of Congo (DRC) and the EU announced the launch of negotiations for a Forest Law Enforcement Governance and Trade (FLEGT) Voluntary Partnership Agreement (VPA). The DRC is the tenth country to engage in bilateral work with the EU to improve governance in their forest sector. Perking up policy and democratic processes is no easy task – and even less so when a country is the size of Western Europe, has deficient transport infrastructure, almost-absent law enforcement systems and contains the second largest area of rainforests in the world.

### **Forest management guidelines**

Guidelines for sustainable timber production from forest concessions were developed gradually in DRC between 2006 and 2009 with the support of international stakeholders, especially the World Wide Fund for Nature. The set of guidelines now consists of 13 brochures, many of which include specific measures to protect fragile sites in forest concessions. One brochure sets norms for Reduced Impact Logging. The forest inventory guidelines also include guidelines on collecting wildlife data (particularly in relation to large mammals), and information on Non Timber Forest Products that are of interest to local populations, during forest inventories. The guidelines on forest management clearly state measures to be taken in favour of conservation during the implementation of the management plan.

The difficulty in DRC remains in the implementation of the guidelines, which are often delayed by lengthy debates on “Social Responsibility Contracts”, despite timber harvesting operations being conducted at the same time.

### **4.6 Donor support and coordination**

The UN-REDD Programme and Forest Carbon Partnership Facility are working jointly and it is difficult to distinguish between the two. This is much appreciated by most actors. The Congo Basin Forest Fund is regarded as a distant mechanism that does, however, respond to the efforts and demands of the UN-REDD coordination from DRC in the development of its project portfolio.

There is a desire in DRC to establish stronger coordination with other national forest programmes, such as the World Bank’s *Project National Forêts et Conservation de la Nature* and new Japanese forest initiatives in DRC, since these programmes also must deliver in the REDD context in order to move forward. The International Tropical Timber Organisation has provided some operational funding for setting up forest carbon inventories and sample plots.

## 5. NICFI's contribution to the status and progress of DRC's National REDD process 2007-2010

### 5.1 Overview of NICFI's contribution to REDD in DRC

Norway does not have any bilateral partnership with the Democratic Republic of Congo (DRC). The country is supported via multilateral channels, except for a small project supporting the climate change secretariat within the Ministry of Environment, because of the secretariat's role as a coordinator for African countries on their position in the climate change negotiations. Norway's motivation to support DRC is that DRC is a key country for REDD+ success given the extent of its forest, which makes up 60 % of the second largest rain forest in the world.

#### 5.1.1 Forest Carbon Partnership Facility (FCPF)

Norway is one of fourteen donors to FCPF and contributes 18% of the total global funding. In DRC, the FCPF budget is 3.5 million USD<sup>11</sup>.

The FCPF is mainly providing coordination and strategic support and a carbon finance specialist is posted in the World Bank's DRC country office. The FCPF closely coordinates with UN-REDD and the two jointly support DRC's REDD National Coordination Unit.

In supporting the FCPF, NICFI builds on the World Bank's knowledge and experience in DRC and contributes to common learning and the creation of a community of practice around REDD issues and processes. It allows both for supporting DRC's R-PP through the FCPF mechanism and for early investment through the Forest Investment Program.

#### 5.1.2 UN-REDD Programme

Norway is one of three donors to UN-REDD and contributes 79% of the total global funding. In DRC, the UN-REDD budget is 6.5 million USD.

The United Nations Development Programme (UNDP), United Nations Environment Programme and Food and Agriculture Organisation are all active under UN-REDD in DRC. UNDP is leading, with two REDD experts posted to the REDD National Coordination Unit for the preparation and execution of DRC's R-PP. The UNDP regional office is also taking a very active role in explaining the REDD process to national governments and stakeholders. UNDP regional office is in Dakar, Senegal, where

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11 Sources: Norway data from NICFI website, accessed 10.10.10, Norway funding allocation between the Carbon and Readiness Funds of the FCPF from Carbon Funds Update, accessed 10.10.10. All other donors: Vähänen (2010) Available at: <http://www.un.org/esa/forests/pdf/aheg/aheg1/UN-REDD-Vahanen.pdf>; CBFF data taken from Climate Funds Update

the Africa Regional REDD-Coordinator has been providing 50% of his time in support of the DRC National Programme.

The division of support responsibilities between the different organisations for the implementation of DRC's R-PP is summarised below.

During the period July to September 2010 the REDD National Coordination Unit is being expanded by four additional experts, two nationals and two internationals.

<b>Box 4 REDD preparation components by support agent</b>	
1a. Management of preparation for REDD	UN-REDD (UNDP) / FCPF-BM
1b. Consultations and participation	UN-REDD (UNDP) / FCPF-BM
2a. Drivers of deforestation and political aspects	UN-REDD (FAO) / UNEP
2b. Strategic options for REDD	FCPF-BM / UN-REDD (UNDP)
2c. Framework for implementing REDD	FCPF-BM
2d. Environment and Social Impacts (SESA)	FCPF / UN-REDD (UNEP)
3. Reference scenario	UN-REDD (FAO) / FCPF-BM
4a. MRV (emissions and absorption)	UN-REDD (FAO)
4b. MRV (co-benefits and impacts)	UN-REDD (UNEP)

UN-REDD and the FCPF have coordinated their support effectively and they function as one unit in supporting the REDD National Coordination Unit. Box 5 is a useful summary of the progress made through facilitation by the two collaborating multilateral institutions (as presented by UN-REDD team themselves).

#### **Box 5 Summary of progress and lessons learned from UN-REDD's Phase 1 (UN-REDD 2010)**

- The DRC engaged decisively and intensively into REDD+ in January 2009.
- A national institutional and juridical framework for the REDD process is already in place.
- The principles for the REDD process, as agreed by the key REDD stakeholders in January 2009, are respected and have proven useful to the progress. They are: a single REDD process; a participatory process with national consultation; transparency; technical quality; and regional integration.
- A comprehensive REDD Readiness Preparation Proposal/Plan has been elaborated through a participatory approach, and it includes strategic views, elements of substance, operational guidance and detailed budget.
- The CN-REDD, under the auspices of the Ministry of Environment, Nature Conservation and Tourism has become a valuable and respected cell to support and feed the REDD process, easing cooperation among key stakeholders (international and national alike), ensuring adequate participation, opening the different work lines required and maintaining coherence throughout.
- A number of mechanisms to ensure participation, information-sharing and multi-stakeholder dialogue have been put in place and are functioning healthily.
- Civil society groups and representatives of forest peoples are very active in REDD+ discussions, including in the building of the REDD Readiness Preparation Proposal/Plan, and have organised themselves through the GTCR, which is a regular and vital counterpart of Government and international stakeholders for REDD in the DRC.
- Joint cooperation between the two main international platforms for REDD, namely the UN-REDD Programme and the FCPF, is solid and smooth. Joint UN-REDD/FCPF missions have proved a good source of support and guidance to the REDD process, and are intended to continue.
- The REDD+ process in the DRC has been commended by different external observers as a good and innovative practice, thanks to its internal structures, its social and stakeholder inclusive dynamics, its methodology and its tangible progress in just about a year.

In summary, the UN-REDD's Phase 1 has served to root and fine-tune the REDD+ readiness efforts. Therefore UN-REDD's Phase 2 can already start, as it will advance on solid grounds.

In working through UN-REDD, the NICFI aims at mobilising existing experiences, competences and capacities of a number of UN agencies in support of REDD. By financially enhancing their capacities it aims at rapid start-up of REDD in DRC.

Through supporting the UN-REDD programme, NICFI believes it will achieve the following outcomes (not specific to DRC):

- National REDD-readiness processes established in a series of countries (9 pilot countries in pipeline, more countries in line);
- Development and testing of approaches in areas where the UN agencies have their key expertise, including but not limited to:
  - Methodologies and institutional arrangements for monitoring, reporting and verification (MRV) of forest carbon emissions and removals;
  - Involvement and participation of stakeholders, local communities and indigenous peoples in REDD+ planning and implementation;

- Governance aspects of REDD+, including reducing corruption risk, transparency in decision making, broad and inclusive consultation, systems for benefit distributions and gender aspects of REDD+;
- How to achieve multiple benefits from REDD, i.e. conservation of biodiversity and ecosystem services, social and economic development;
- A platform for south-south exchange of experiences in REDD planning and implementation;
- Contribute to increased inter-agency cooperation and coordination and strengthen delivery as One United Nations.

### **5.1.3 Congo Basin Forest Fund**

The Congo Basin Forest Fund (CBFF) is administered and hosted by the African Development Bank (AfDB). CBFF was launched in 2008 with a first contribution from the United Kingdom and Norway with a contribution equivalent to £50M from each country. As presented in the framework document for the establishment of the CBFF, the overall goal of the Fund is to alleviate poverty and address climate change through reducing the rate of deforestation and forest degradation. Its purpose is to provide grants to eligible entities for activities that: i) slow and eventually reverse the rate of deforestation in the Congo Basin; ii) provide support mechanisms which conserve the forests, iii) maintain benefits to local communities, and iv) mobilise additional financial resources to support required actions.

Activities to be financed by the CBFF are those which align with the COMIFAC Convergence Plan initially in strategic areas 2 (*“knowledge of the resource”*), 6 (*“development of alternative activities and poverty reduction”*) and 9 (*“development of funding mechanisms”*). The CBFF has defined its five priority domains of intervention, which are all directly relevant to REDD. These domains include:

- Sustainable management of natural resources
- Improvement of livelihoods and enhancement of benefits to local communities
- Monitoring, Reporting and Verification (MRV) in REDD
- Advantages of carbon markets and payment for ecosystem services
- Capacity building for REDD, MRV and sustainable management practices

Information of how the fund works can be found at [www.cbff.org](http://www.cbff.org).

The CBFF has issued two calls for proposals. The selection procedures had only been completed for the first call at the time of this evaluation. Five projects in DRC were granted funding through the first call, representing a total amount of 6.5M€. However, three of the five projects to be entirely implemented in the DRC (worth a total of 5M€) had not signed their grant agreements with the African Development Bank (AfDB) by mid-August 2010, and thus had not received the first instalment of their respective grants. Similarly, one regional project with activities in DRC was still awaiting the first instalment of the grant.

DRC’s Ministry of Environment, Nature Conservation and Tourism, coordinated by the REDD National Coordination Unit, supported the submission of pilot project proposals to the CBFF for the second call. These seven proposals (requesting a total of 17M€ in funding) were accepted by the CBFF Secretariat and will be pre-

sented as one lot for approval to the Governing Council of the CBFF in November 2010. The seven REDD pilot projects have priority as DRC is leading on REDD in Central Africa and ensuring CBFF coherence in relation with UN-REDD and FCPF is seen as a high priority. The evaluation team learned that funding the pilot projects will put much strain on the CBFF as its project portfolio is growing and its fund size is still limited. In addition to the pilot projects the Ministry of Environment, Nature Conservation and Tourism also submitted two “forest sector” projects (community forestry and agro- and re-forestation) with a total funding request of over 10M€. These also both very much fit within the DRC REDD process and are also suggested as priority for funding, putting a further strain on the CBFF.

Generally speaking the CBFF is still in its establishment phase, which is slow. Many of the actors interviewed by the evaluation team expressed frustration about this. Most of the functional bottlenecks were foreseen by the Norad Appraisal Mission of the CBFF of April 2008<sup>12</sup> and should therefore come as no surprise. The slowness has also not only been due to slowness within the CBFF and its secretariat (which has been functioning and in place for a little less than a year), but also due to the fact that the Fund is operating in vulnerable countries (such as the DRC) where partners are weak and inexperienced in collaborating with multilaterals such as the African Development Bank. A number of actors close to the CBFF believe that the next 2-3 years will be determinant on what role and impacts the CBFF will have on REDD in DRC and in the Congo Basin.

We conclude that, for a number of reasons, the CBFF is not yet functioning to its full potential, and many civil society actors are frustrated – the international NGOs because it is slow, procedures are unclear and different instructions were found to be contradicting; the smaller Congolese non-governmental organisations because communication is poor and very few have, to-date, been successful in having their project funded.

#### **5.1.4 Rainforest Foundation Norway**

Rainforest Foundation Norway is not formally a partner in the REDD process of DRC, but, as the main source of funding for a platform of Congolese Non-Governmental Organisations united under the *Réseau Ressources Naturelles* (RRN), it is playing an important role in REDD dynamics. Through a project contract with RRN, Rainforest Foundation Norway has strengthened the capacity of a large number of Congolese civil society organisations (not just RRN members) to influence the REDD agenda of DRC, both at the national level and at the international level. Rainforest Foundation Norway has also been part of the UN REDD/FCPF follow-up missions in DRC, the latest having taken place in February 2010. They have also been important in ensuring that representatives from Congolese civil society have been formal members of the mission teams and have partly financed their participation. It is instructive to read their statement on DRC's R-PP posted on their website (RFUK 2010). Apart from capacity development Rainforest Foundation Norway plays an active advocacy role, which from an external point of view, is considered to be very useful.

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12 The Norwegian Ministry of Foreign Affairs: Appraisal of Congo Basin Forest Fund, NORAD, 24 June 2008



### **5.1.5 World Wide Fund for Nature (WWF)**

The WWF is by far the most active international non-governmental organisation partner on REDD to DRC and is worthy of particular mention. The WWF has also received a small fund from Norad that enables it to trigger REDD processes and unblock situations as required. The WWF has a full time senior advisor on REDD posted to its DRC Country Office and it independently monitors the DRC REDD process<sup>13</sup>.

### **5.1.6 Counsellor's presence**

NICFI, under the responsibility of the Royal Norwegian Embassy in Luanda, Angola, has posted a counsellor to Kinshasa whose responsibility is to follow the REDD processes in DRC and the other COMIFAC countries being actively engaged in REDD issues. Norway currently has no plans to establish a direct bilateral relationship with DRC, but most of the people interviewed during the evaluation insisted it would be effective for Norway to establish a stronger link with DRC if it really wants to invest in REDD in the country (and the Congo Basin).

## **5.2 National ownership**

As we have seen above, NICFI is supporting DRC in its REDD process through the UN-REDD programme, the Forest Carbon Partnership Facility, Congo Basin Forest Fund and a number of civil society actors. It is by far the biggest contributor across these multilateral mechanisms. Although NICFI doesn't have direct bilateral involvement, many people interviewed recognised NICFI as the most important REDD funding source for DRC, even if a few were not aware of NICFI's interests and contribution.

The efforts of UN-REDD and FCPF have placed REDD high on DRC's national agenda and built support across government. Congolese civil society has also been given the platform it needs for participation and there have been improvements in institutional set-up and building. High levels of transparency and stakeholder inclusion are attributed to UN-REDD and FCPF's effective support of the REDD National Coordination Unit. As NICFI is a major funder to the UN-REDD programme and the FCPF its contribution to increasing national ownership of REDD is assessed to be high.

Most people interviewed expressed a desire for NICFI to establish a direct bilateral relationship with DRC, not so much for the technical support aspects, as these are thought to be sufficiently covered by the UN-REDD programme and Forest Carbon Partnership Facility, but more for setting up the REDD funding mechanisms. This would be an important step toward NICFI taking a bigger ownership in the DRC REDD process.

For NICFI, DRC is indeed an interesting model. Whereas NICFI is the main donor funding the REDD process in DRC directly, the NICFI support is entirely channelled through multilateral and civil society channels. It is clear that NICFI is closely

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13 Independent Technical Review of UN – REDD Document: DRC R – PP Version 2 – 19 February 2010 Reviewer: G. Ken Creighton, Ph. D. (WWF)

monitoring the different mechanisms it supports. The extent to which NICFI influences the REDD agenda in DRC could not be established.

Within DRC, establishment of a National REDD fund is considered to be an urgent need and a direct bilateral engagement from NICFI with DRC would certainly build trust in setting up such mechanism. The REDD National Coordination Unit, with support from the UN-REDD programme, is establishing a list of REDD early investment projects, which will be presented in Cancun later this year. The National Coordination Unit is seeking up to US\$ 500M for these over the period 2010-2013. Among these projects there is, in the view of the evaluators, too much emphasis on investments within the forest sector. More attention on investment in sustainable low-carbon energy and climate-smart agriculture would really broaden the scope of the present REDD process.

### **5.3 REDD relevant policies, strategies, plans and actions**

So far the NICFI supported UN-REDD programme, Forest Carbon Partnership Facility (FCPF) and Congo Basin Forest Fund are the main funders in DRC. FCPF and UN-REDD are focussing more on the technical aspects of REDD, including MRV and financial architecture for REDD payments. The R-PP identifies land tenure, indigenous peoples and local community rights, forest governance and the forest reform agenda, livelihoods, overall economic development and land-use planning as important policy issues. However, in the R-PP action plan there are no activities that directly address these issues. As a consequence NICFI's contribution to this indicator is assessed as low.

In the R-PP action plan there are a number of studies that will further contribute to clarify the policy and strategic issues for successful REDD implementation.

Support of the REDD National Coordination Unit by FCPF and UN-REDD has involved identification of linkages with National forest and conservation programmes and under this indicator NICFI's contribution is considered medium.

All of the proposed funding is within the Forest and Nature Conservation Sector and therefore relevant policies, strategies and actions in other sectors are not currently receiving direct support through the REDD process in DRC. The ongoing forest sector reform falls outside the remit of NICFI and the actual contribution of the National Forest Programmes to REDD still needs to be defined.

### **5.4 MRV capacity and capability**

Developing MRV is one of the main thrusts of the Readiness Preparation Proposal/ Plan. Within the UN-REDD partnership, the Food and Agriculture Organisation of the United Nations (FAO) takes main responsibility here. FAO are regarded as slow and distant (due to management from Rome) and there were worries regarding FAO's capacity to respond quickly to the DRC process and to coordinate MRV development with all the relevant local actors. However, despite the major challenges involved, FCPF and UN-REDD have made development of capacity and capability for the set-up of comprehensive MRV system a priority, and NICFI's contribution to

MRV system planning and development through these organisations is considered to be high overall.

## **5.5 Deforestation and forest degradation rates**

As rates of deforestation and forest degradation are not well documented in DRC, UN-REDD and FCPF have made it a priority to gain an insight into deforestation patterns. Defining the drivers and the rates of deforestation and forest degradation is a priority activity in DRC's R-PP. The joint and collaborative effort with FAO, Congolese civil society and the University of Ghent was regarded by all informants as very positive and effective. It is expected that before the end of 2010 this activity will have brought consensus on the drivers of deforestation as well as delivering wall-to-wall measurement of deforestation and forest degradation in the periods 1990-2000, 2000-2005 and 2005-2010. For this reason, NICFI's contribution assessed as medium in terms of identifying data gaps and developing plans to address these gaps, however, it is too early to expect that NICFI has contributed to reduced deforestation and forest degradation at this stage.

## **5.6 Livelihoods, economic and social development and environment conservation**

It is too early for NICFI to have contributed to improved livelihoods at this stage, however, the FCPF and UN-REDD are developing means of getting livelihoods baseline data, so NICFI's contribution to this indicator may more readily be compared at a later stage of the process once benefit sharing among stakeholders and other activities are being implemented.

The planned Social and Environment Impact Assessment for REDD in DRC should provide important information on these indicators. Clearly many stakeholders expressed their concerns about the ability of REDD to impact positively (and therefore not negatively) on people's lives, socio-economic development and the environment. The REDD National Coordination Unit is mobilising support from a World Bank led national household census to gain reliable data on forest dependency of forest dwelling communities. We consider that the R-PP could have given more importance and attention to these development indicators, by assigning them a more central focus in expected results of the process. The Forest Reform Agenda is key for clarifying forest tenure, but this is not included as an integral part of the REDD Process - this weakness needs to be addressed. Issues of land-tenure, governance, REDD finance and revenue sharing mechanisms and local capacity to manage and absorb REDD related activities will all determine outcome and impacts.

A founding principle of NICFI is to adhere to Norwegian policy and regulations on international development cooperation. Thus, promotion of poverty reduction, human rights and good governance need to be integrated into efforts to reduce emissions from deforestation and forest degradation. Clearly livelihoods, economic and social development and environment conservation issues depend on many factors outside the remit of REDD. Defining and monitoring these indicators needs to remain high on the agenda of national and international REDD actors in DRC.

Rights of indigenous peoples are prominent on the FCPF and UN-REDD agenda in DRC and a number of REDD pilot projects will work with indigenous peoples and local communities to explore how to include them in REDD. Also the CBFF and other civil society organisations (both national and international) work in this area. NICFI's contribution to this indicator and biodiversity / conservation indicators is considered to be medium. But it will require consistent attention and high-level lobbying to ensure that forest-peoples are fully and securely participating in, and benefitting from, REDD.

## **5.7 Donor support and coordination**

Donor coordination in the forest sector is generally thought to be effective and regular in DRC. NICFI is (as of September 2010) the main donor directly supporting REDD in DRC and is likely to be recognised as a significant force if other donors increase their contribution to funding readiness activities in the future. During our mission, nobody expressed concern that NICFI is the only funder of the process at present, probably because the funding is provided through a diversity of multilateral and civil society channels.

There is a wish to establish a stronger coordination with other national forest programmes, such as the World Bank's *Projet National Foret Conservation* (PNfoCo) and the new Japanese forest initiatives in DRC as these programmes need to deliver for REDD to advance in DRC. The International Tropical Timber Organisation has provided some operational funding to setting up forest carbon inventories and sample plots.

## 6. Evaluation of the contribution of NICFI

The three main mechanisms through which NICFI contributes to the REDD readiness process in DRC are the Forest Carbon Partnership Facility, UN-REDD Programme (UNDP, UNEP and FAO) and the Congo Basin Forest Fund. Relevance, effectiveness and efficiency of all three programmes have been assessed within the context of the overall process of REDD in DRC, rather than the functioning of each of the support mechanisms.

NICFI is also supporting REDD+ in DRC through the following other channels:

- Providing finance to Rainforest Foundation Norway which supports Congolese civil society (through the *Réseau Ressources Naturelles*) on REDD+ related activities, with representation of Congolese civil society representatives on the international REDD review missions to DRC and in international climate negotiations;
- Providing finance to the World Wide Fund for Nature (WWF-US) to kick-start activities;
- Reacting to the expressed need for strengthening the capacity of the DRC REDD *Task Force* in international forums providing additional finance through UNDP.

This funding flexibility is much appreciated by all actors in DRC. It is also an indicator that NICFI is as an operational partner to the DRC REDD+ readiness process, even if from behind the scenes. Whilst channelling its funds through different actors, NICFI maintains at the same time a policy dialogue at different levels.

### 6.1 Relevance

During our mission nobody questioned the relevance of the support to DRC for REDD+ and technically the support provided by the Forest Carbon Partnership Facility and UN-REDD programme is fulfilling the requirements for REDD readiness. There is still much to do and DRC is only at the beginning of the process. Whereas other countries in Central Africa could build their REDD process on existing structures and knowledge, DRC has to build almost everything from scratch.

There is no doubt that REDD is relevant to DRC, even if there are huge risks. A risk analysis has not fully been developed, but there are a few general and rather obvious risks:

- A REDD that functions poorly will keep local forest communities and indigenous people imprisoned in abject poverty;
- There is a danger that one group of actors will exert its influence on REDD revenues (and on the sharing of revenues) to the detriment of other groups;

- That the interests and stakes generated by potential REDD revenue payments will exacerbate conflicts over ownership and access of forest resources.

Although REDD is relevant in DRC and even if it is possible to manage the risks, we have concerns about the relevance of the choices made under the Readiness Preparation Proposal / Plan and through the McKinsey study (see discussion of the reference scenario). The Readiness Preparation Proposal / Plan is clearly relevant to the forest sector, however we have noted that it does not go beyond this. It does identify agriculture and energy as important drivers of deforestation, but it proposes no actions in these sectors and thus falls short of addressing the broader issues. Limiting the REDD process to the forest sector will not respond to the development needs of DRC. It may lead to questionable solutions and strategies (such as large scale afforestation and reforestation efforts and a “massive deployment of agro-forestry”), that, based on experience with similar efforts over the past 40 years in Africa and elsewhere, are doomed to fail in their implementation. If REDD implies the following of a low-carbon (energy) development path for DRC, and a new paradigm of land-use, it will require a more holistic approach. In that case, housing the institutional set-up in the Ministry of Environment, Nature Conservation and Tourism may be questionable (even if Minister Endundo has been very effective in mobilising broad support, which is widely appreciated). In our view, the McKinsey report demonstrates the risk of moving too quickly, resulting in making assumptions about the drivers of deforestation and ill conceived strategies for REDD.

*It is our conviction that Making hast leads to a tunnel vision, and we believe it is better to make hast slowly!*

Despite this, it should be recognised that DRC is in dire need of a “Marshall Plan” to kick-start its economy and develop its institutions. The question is if REDD is the appropriate arena for this? There certainly is political interest within DRC for REDD+ and also frustration that Brazil and Indonesia have received massive funds, which DRC has not. The McKinsey study indicates potential annual REDD compensation of US\$ 1 – 1.5 billion, and the publicly stated expectations of Minister of Environment are even higher.

NICFI support, through its multilateral partners, focussed too much on the technical process of developing tools for REDD Readiness at this stage. There is insufficient investment in (1) supporting DRC to develop good policy on land and forest tenure issues, as well as (2) on investing in extensive and participatory land-use planning. We feel that this is really a missed opportunity. We do note that the list of early REDD investment projects proposes supporting forest zoning and land-use planning and we suggest that these should be a priority for funding.

***The relevance of NICFI financing and support in DRC is assessed to be medium to high.***

## **6.2 Effectiveness**

This mission has not made a distinction between the Forest Carbon Partnership Facility and the UN-REDD programme since, commendably, they appear to function

in unison. Together they ensure that the capacity for coordination, information and sensitisation of actors to REDD is provided in DRC, and they do this very well. Both programmes have been quite effective in quick-starting the REDD+ process in DRC and both receive wide recognition for supporting the implementation of the process.

We have highlighted that implementation of the R-PP leans too heavily on the REDD National Coordination Unit and that there is insufficient recognition for the need to develop REDD from provincial perspectives. There is an obvious rationale for starting at the national, rather than provincial, level, and this choice is widely supported by the different actors we talked to. However, this approach risks further centralising government instead of supporting a decentralisation process. At the moment less than US\$ 0.5M of the total R-PP budget of US\$ 22.7M will be allocated directly to provinces. Since it may not be possible to develop the necessary capacity at the same time in all 11 (and possibly 26 in future) provinces, the REDD National Coordination Unit hopes that by 2012 at least 4-5 provinces will have developed sufficient capacity to make a real contribution to the REDD+ 2030 Strategy. We propose that more resources be allocated to, and managed by, a number of provinces to create capacity and implementation powers at that level. If not, there is a risk that NICFI will not achieve its objectives.

Likewise, we suggest that gaining true, pro-active participation of Congolese civil society requires more than their participation in meetings and seminars, it requires empowerment. This should be part of the R-PP budget.

There is also a need to clarify the roles and responsibilities of all stakeholders and actors in the REDD readiness process, and empower each of these actors accordingly.

Regarding the Congo Basin Forest Fund (CBFF), we note that the CBFF Secretariat is making a real effort to mobilise the necessary funds for the seven REDD pilot projects that are in the pipeline. The Fund has made these a priority for funding because Minister Endundo of Ministry of Environment, Nature Conservation and Tourism strongly supports these projects and because of the strong coordination provided to the development of these projects by the UN-REDD programme and Forest Carbon Partnership Facility. Since the CBFF is a new mechanism (the Secretariat has been in place for less than a year) it needs time to fine-tune its procedures and functioning. Although the CBFF is making a huge effort to become effective and efficient, whether it is the right vehicle to provide quick-start funding for the set-up of REDD pilot projects is questionable and needs to be assessed early on, since the effectiveness of DRC's R-PP relies to a large extent on the results of these pilot projects.

***The effectiveness of NICFI financing and support in DRC is assessed to be medium to high.***

### **6.3 Efficiency**

Evaluating the efficiency of the multilateral mechanisms through which the NICFI supports DRC was outside the remit of this study. An independent evaluation of the

Forest Carbon Partnership Facility is under way. It would be timely to evaluate the Congo Basin Forest Fund, both within the context of REDD pilot projects and more generally within the broader context of supporting livelihood and sustainable forest management in the forests of the Congo Basin, however, it was not the mandate of this evaluation to respond to these needs.

There is a real effort to develop Congolese capacity for REDD, but we believe that more can be done. The readiness process in DRC currently risks over-dependence on external consultancy input. Whilst this external input may present an efficient means to make rapid progress, we (and a number of our interlocutors) would like to see more effort to bring the young professionals on board and involve them at all levels. Since many of the senior forestry professionals in DRC are near to retirement, it is the young professionals that will have to carry REDD forward. Many of the young professionals leaving university today are not being employed through ongoing REDD initiatives and this is unacceptable. Partly this is because of public service reform processes, but the REDD National Coordination Unit and its partners could and should find a way in interim of incorporating technicians graduating from universities in the ongoing initiatives. This is the only way to ensure that Congolese capacity for REDD is sustainably built.



## 7. Lessons learned and recommendations

The odds may be against DRC for REDD+ implementation. DRC has all the characteristics to be expected of a post conflict country (“a fragile state”) and a number of regions within the country continue to experience significant military conflict resulting in serious human suffering and ongoing disruption of the social and political fabric of the country. Disorder in the military and political economy still dominates the country at all levels: institutions are weak; everything needs re-building. The planned cycle of elections starting in November 2011 finishing mid 2013 will be a real challenge<sup>14</sup> to stability, for building sustainable political structures and culture and will demand enormous energy from the country’s existing institutions.

DRC is taking its forests and their future management seriously, and would like see its forests making a real contribution to the country’s development. It would like to manage its forests for the prosperity of the country and its people, and sees REDD+ as an important opportunity to do so. There is a general belief that forests can make a real contribution to the country’s social and economic revival, not just by cutting them down, but by maintaining them for a broad range of functions, including climate mitigation and stabilisation.

The REDD+ process in DRC is still very much at an early stage. The technical REDD readiness process is on-going and still needs 3-5 years to mature. Whilst the process will be challenging, our assessment is that it is possible.

The interest for participation in REDD+ within DRC is large and unanimous across all stakeholders. REDD+ has, in the short period of just one year, created a whole multi-stakeholder and multi-actor dynamic, mainly within the forest and environment sector, but also at the higher level of government in the Prime Minister’s Office.

### 7.1 Lessons learned

Reflections on how to propose a REDD reference scenario for DRC needs a broad view on the country’s development. It has been suggested that the DRC Vision 2035, and the Growth and Employment Strategy 2020, could provide a good starting point. We, and others, have also suggested that there is a need to develop broad land-use plans, clearly determining present land-use and projecting future use which takes account of the broader development vision for the country. We strongly warn against developing future scenarios based on “business as usual” as

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<sup>14</sup> See Annex 7 with a brief article from Jeune Afrique on DRC’s upcoming elections

this is not an appropriate option for DRC and certainly not something NICFI should pursue.

We believe that it will be difficult to establish a reference scenario based on a reduction of forgone deforestation against projected business as usual deforestation rates in the DRC context. We suggest that it would be far more realistic to define the extent (a percentage of the present) of forest DRC commits to manage sustainably (assigned per forest management category) and be compensated for the effective implementation of this commitment. At the same time, it should make real and effective investment in seeking to replace urban wood-energy by a low carbon energy development source.

With regards to low-carbon (energy) development, the wood-energy sector of DRC has been identified as a key area to be addressed under REDD. The actions proposed have to do with (1) reducing wood (charcoal) consumption through the introduction of cheap improved stoves especially in urban centres and (2) producing more wood energy in small and large scale wood-energy plantations. We believe that these initiatives can only be part of the solution. We propose that in parallel with the forest sector, the energy sector should receive special and large support through NICFI. It is for DRC to choose if it wishes to follow the example of Guyana and use REDD revenue for investing in low carbon energy development. We suggest that reforming the (mostly informal) energy sector is key to sustainable outputs from DRC's forests and key for a low-carbon development path. Tackling an estimated 90 million m<sup>3</sup> wood-energy sector, that generates an informal annual economy of over US\$ 1 billion will require massive investment and alternative ways for wood energy use to be integrated into the local economy. In addition, the following questions need to be addressed: (1) what is the role for local biofuel production; (2) what place do the petrol explorations in the Lake Albert region and Virunga National Park have in a national energy strategy (3) what are the hydro electricity potentials of DRC and reform of the electricity sector? These issues cannot be left to market forces alone if the intention is to support DRC down a low-carbon (energy) development path.

Many stakeholders stressed that to have a good foundation on which to build REDD+, it would be necessary to go beyond sectoral zoning of the landscape for the definition of forest management categories (which falls within the remit of the Ministry of Environment, Nature Conservation and Tourism) and that a good foundation for REDD would need the development of generalised land-use plans (Plan d'Aménagement de Territoire) at the provincial level. This would provide a multi-sector vision for the use and management of the territory (agriculture, forestry, mining, roads and urban infrastructure development, energy requirements, etc.). Deforestation rates are also very uneven across DRC and this would be visualised through such land-use planning. It is only then that development scenarios can realistically be defined.

The national level REDD committees and coordination unit are to be replicated in one form or another at the provincial level. Currently REDD is still very much a central government process and the evaluation team did not see a clear vision (or

willingness) to empower provinces to take the lead. This would also require allocating budgets and technical capacity to the provinces and this has been insufficiently covered in the present R-PP. The provinces have made it clear that planning and implementation of development programmes is their mandate.

A similar problem with respect to empowerment applies to the inclusion of other sectoral ministries in the REDD strategy development process. Will budgets be made available to support relevant reforms and studies in other ministries and how inclusive will REDD coordination be when it comes to allocating resources and capacity? At the moment efforts are very much focussed on empowering the Ministry of Environment, Nature Conservation and Tourism.

Congolese civil society has taken an advocacy role in the forest sector and is generally given the platform if it asks for it. It has been taken seriously by government and private sector in the past and it has shown its ability to influence the national agenda, as well as the forestry agenda of the World Bank in DRC. This should be seen as an important element of national ownership in the forest sector. However building trust amongst stakeholders in the forest sector will only happen based on tangible results in forest sector reform and improved governance. Efforts to further empower civil society to be a full and active partner in the REDD process should be further encouraged.

Regarding REDD Pilot projects, the proposals have been endorsed by both the government and the REDD National Coordination Unit. The process of jointly reviewing the proposals and making sure they contribute to the R-PP has already contributed much to joint learning, fine-tuning and the registration of these projects. An expected outcome of these pilot projects is increased participation of local communities and local government in national REDD process. They may also provide useful experience and learning related to the set-up and monitoring of Payments for Environmental Services projects in DRC. Even so, we fear that their contribution to the REDD readiness process may be disappointing. Most projects fail to address issues such as leakage and additionality and their monitoring, reporting and verification approaches do not always fit with international requirements on inventories and other matters. Quick-start of the pilot projects to produce early results that can feed into the Readiness Plan is also a challenge.

Developing the Monitoring, Reporting and Verification (MRV) system from zero is clearly a key challenge of the R-PP. Concerns have been expressed about the slowness of the main executing agency, the Food and Agriculture Organisation (FAO), in getting started and in coordinating the different actors in this field. It is understood that FAO is developing and centralising its capacity on MRV for REDD in Rome. This will place an extra challenge on FAO to coordinate with local actors and build local capacity. There is a real worry that the national MRV system being developed will not take advantage of the MRV-relevant capacity that already exists or is to be built through field projects and within forest management units, and that there will be an issue of harmonising the different approaches to MRV under development through these different routes (see also section 4.2.6).

Dealing with land, forest and carbon tenure was the one issue mentioned by all stakeholders we talked to, from the Prime Minister's Office down to the provincial level. Forest tenure issues are being addressed in the new texts developed by the Ministry of Environment, Nature Conservation and Tourism for community-held forest as well as through the planned zoning of forest management categories. These application texts take the recognition of customary land rights as point of departure and have been inspired by the Tanzania case. The texts represent quite a fundamental shift in vision, and especially practice, from the past and would need to be backed by general reforms in land tenure. This would be a real challenge for DRC. For instance, one of the underlying reasons for the on-going war in the Kivus is problems with land tenure, there are also many land occupation conflicts associated with abandoned large agro-forestry concessions and local communities in the Bas-Congo, to name just two examples. These worries were raised by all interlocutors but are not addressed by the R-PP. The R-PP does not address the reform agenda, and the issues of tenure clearly go beyond the remit of the Ministry of Environment Nature Conservation and Tourism and should be handled at the level of the Prime Minister's Office and the Presidency.

Important lessons that can be learned from NICFI efforts in supporting DRC in the REDD readiness process relate to the way it has been able to mobilise many different multilateral and civil society channels for one common goal, and the flexibility that NICFI has shown in mobilising extra support where necessary to deal with issues as they arise.

## 7.2 Conclusions

A summary of conclusions of the present evaluation is presented below:

1. The overall REDD process:
  - Effective leadership by the Ministry of Environment, Nature Conservation and Tourism;
  - Strong participation with a large number of stakeholders;
  - Still very much at the beginning of a process of dialogue, studies and definition of elements for a national vision;
  - Still many unknowns;
  - R-PP is too ambitious in time allocated for preparations, but is also limited in scope (danger of tunnel vision).
2. Some opportunities are still to be captured:
  - There are real opportunities to mainstream REDD in the national development agenda;
  - There is a risk of getting bogged down in technical details with too much focus on the forest sector itself;
  - The architecture of the R-PP and REDD process seems to be still too centralised; there is an urgent need to create REDD Provincial Coordination Units with enough technical capacity and budget of its own in at least 4-5 provinces;
  - The R-PP has not taken advantage of the opportunity of making investment in ongoing reforms of other sectors – there has been too much focus within the forest sector alone;

- There is a stated need in the short term for more REDD early investments;
  - More attention for possible public private partnerships would be useful.
3. Some major risks of REDD in DRC:
- A REDD that functions poorly will keep local forest communities and indigenous people imprisoned in extreme poverty;
  - There is a danger that one group of actors will exert its influence of REDD revenues to the detriment of other groups;
  - The interests and stakes generated by potential REDD revenue payments will only exacerbate conflicts over ownership and access of forest resources.
4. Building confidence amongst stakeholders in REDD:
- The multi stakeholder and multi sector initiative that characterises REDD requires first the building of confidence amongst actors;
  - Minister Endundo states that confidence is not for free, it builds itself on daily action and evident commitment;
  - A first requirement for strengthening confidence would be further clarifying roles and responsibilities;
  - The need for empowerment of provinces, Congolese non-governmental organisations and other Ministries through the allocation of resources and capacities;
  - Engage REDD investments outside the forest sector;
  - Demonstrated engagement in key reforms;
  - Continue to practice transparency and good governance on a daily basis;
  - Confidence requires that governmental, private and civil society organisations prove their capacity to implement.
5. Constructing a vision 2030 on REDD for DRC:
- Need for a base map showing accurately present land-use;
  - The need for a multi-sector vision on sustainable development for a low-carbon economy – Congo 2035 – the need for the REDD readiness process and partners to be much more bold and invest across sectors;
  - In the short term a willingness to respond to present investment needs of DRC, such as (1) general land-use planning at the provincial level; (2) macro and micro zoning of forests; (3) support to effective decentralisation and possibly adopt some provinces as REDD pilot provinces; (4) consider massive investment in a low-carbon energy sector for DRC;
  - Strengthen decentralised institutions and organisations;
  - A REDD+ in DRC (and the Congo Basin) that has the ambition for putting in place a new land-use paradigm implying the design and implementation of low-carbon development strategies.
6. The Norwegian International Climate and Forest Initiative:
- Not all actors in DRC are aware that Norway is the main source of funding for REDD readiness in DRC;
  - Generally the support of NICFI through the multilateral channels is very well appreciated and we have noted the flexibility of NICFI to mobilise additional financial resources if the need arises;
  - All of our interlocutors expressed their wish to see NICFI develop a direct bilateral relation with DRC;
  - We have noted effectiveness in the execution of the REDD readiness process in DRC by the multilateral channels of FCPF and UN-REDD, with some

reservations expressed for the CBFF and FAO (slowness and lack of proactive leadership).

### 7.3 Recommendations

The evaluation team's recommendations are intended for follow-up by NICFI and their partners in their ongoing dialogue and partnerships on REDD+. The main recommendations of the present evaluation mission are:

- Continue to support the implementation of the Readiness Preparation Proposal (R-PP) with vigour and through the existing mechanisms of the FCPF, UN-REDD programme, CBFF and civil society channels;
- We suggest that it would be useful to submit the CBFF to an open and formal review at an early stage to confirm the value of the direction it has taken so far and to clarify, and where necessary unblock, issues of internal and external functioning, including the size and capacity of the fund, to allow it to respond to national REDD processes. It would also be useful to consider the need to mobilise additional financial resources within (or outside) the CBFF to enable it to fund the necessary REDD+ pilot projects in DRC;
- REDD Readiness should be focused more prominently on measuring 1) progress in the forest reform agenda, and 2) progress on improving forest governance. It is here that DRC's progress towards REDD readiness might best be seen;
- We recommend that NICFI considers providing more direct support to the land tenure reform agenda of DRC. This requires additional funds and the REDD National Coordination Unit would need to develop better operational links with relevant Ministries and other national and international organisations supporting reform of land tenure ;
- At the moment REDD in DRC is generally considered as a forest sector issue. This does not enhance broad national multi-sector ownership of the REDD agenda and it may lead to tunnel vision. We propose that a number of institutional developments should be considered:
  - The REDD National Coordination Unit should gradually be moved closer to the Prime Minister's Office with Minister Endundo continuing to play a lead in mobilising national and international support and thus creating the framework for strengthening inter-sectoral coordination and resource mobilisation;
  - NICFI could support DRC in the design and implementation of a low-carbon development strategy. We are not convinced that the FCPF and UN-REDD programme would be the best mechanisms for this – it would require NICFI to develop a closer and direct relationship with DRC;
- The REDD Readiness process should give higher priority to investing in supporting land-use planning processes with a high level of local participation at provincial level. This may take a few years, but we see no short-cuts if REDD is to succeed in DRC. The DRC REDD National Coordination Unit, with support of the FCPF could request for the mobilisation of funds from within the World Bank's Forest Investment Program (FIP) for this or seek to mobilise additional early REDD investments;
- Through the REDD Readiness process, a more open dialogue should be promoted for DRC to be eligible under UNFCCC for REDD+ funding for its strong and measurable engagement to (1) sustainably manage a well defined and substantial area of national forest estate instead of going down the road of

future “BAU” scenarios and ; (2) develop a low (-forest-) carbon energy sector reducing dependency on wood-energy; and (3) develop climate-smart agriculture;

- Once DRC’s reference scenario is formulated, providing a clear vision on REDD in the context of DRC’s future development, a priority will be to mobilise support for the setting-up of a national early investment fund for REDD. This may require a closer bilateral relationship between Norway and DRC;
- The REDD Readiness process should support effective and real decentralisation of the REDD+ process and the adoption of a number of selected key “REDD+ provinces”. This will require additional mobilisation of technical and financial resources and could be linked to decentralised development initiatives with other bilateral and multilateral donors.
- There is a need to ensure that key players involved in developing MRV have the capacity within DRC itself to respond quickly and through full coordination with the other actors. It should ensure that forest carbon inventories build on available data from recent forest inventories in forest concessions and protected areas.
- There is an urgent need to develop a reference scenario that fits the reality of DRC and that provides for a broader development vision than just reduced deforestation. More should be done to promote a true reflection of DRC’s development path. NICFI recognizes that the path of developing a “Business As Usual” scenario’s for DRC doesn’t fit DRC’s reality and that DRC’s specific national circumstances need to be taken into account.
- A higher priority should be given to developing Congolese capacity for REDD and this could start by ensuring that as many young university graduates as possible are directly employed in relevant REDD studies and inventories and that higher education courses include REDD in the curriculum.

**Table 4 NICFI Country-level Evaluation Framework – DR Congo**

Detail of Indicator	Situation in 2007	Progress 2007 to 2010	Contribution of NICFI to progress 2007 to 2010 <sup>1</sup>
<b>1. National ownership</b>			
Position of REDD in the national agenda	Low	Medium It is high with the Ministry of Environment but it still needs to be articulated in the development agenda of other sectors	High FCPF and UN-REDD raised the position of REDD in the national agenda
Transparency and stakeholder inclusion of REDD coordination	Low	Medium All the multi-stakeholder national committees are in place and there has been a large effort to inform everyone on REDD. More could be done to empower the different stakeholders (especially provincial levels).	High UN-REDD and FCPF, through their support of the REDD National Coordination Unit have been very effective in ensuring information and transparency.
Civil society participation	Low	Medium-high The Congolese civil society organised itself and now has a broad based and active Working Group on REDD. It is being listened to when defining the national REDD agenda. It still lacks empowerment to be provided through the REDD National Coordination Unit.	High At the start most can be attributed to the civil societies own effort and the support it gets from RFN. It is the FCPF and UN-REDD that have given it the platform it needs.
Private sector participation	Low	Low It will need additional and targeted effort to gain active private sector participation. Private sector is present on the National Coordination Committee.	Low



Detail of Indicator	Situation in 2007	Progress 2007 to 2010	Contribution of NICFI to progress 2007 to 2010 <sup>1</sup>
<b>2. REDD relevant policies, strategies, plans and actions</b>			
Policy addresses the key issues	No	Medium All of the relevant policy issues are identified and some will be directly addressed through the R-PP (start-up phase). Yet a number of important policy issues haven't been targeted directly through the R-PP or related efforts.	Low FCPF and UN-REDD are focussing more on the technical aspects of REDD than on policy. Policy process indicators are not part of R-PP.
REDD strategy links well with NFP (or similar)	No	Medium Elements of the National Forest & Conservation programs relevant to REDD have been identified, it is foreseen that linkages will be operational before end of 2010 and proposed early-investments for REDD do reinforce implementation of national forest programs.	Medium Support of FCPF and UN-REDD to REDD National Coordination Unit supporting reinforcing these linkages.
Plans allocate adequate resources	Did not exist	To certain extent For R-PP 2010 – 2012 sufficient resource are being mobilised (need for co-funding). REDD-pilot projects still await funding and for early REDD investment in DRC no resources are available.	Medium Through FCPF and UN-REDD funds are available for R-PP implementation. CBFF to fund REDD pilot projects.
Actions are addressing key policy issues	Did not exist	No concrete action yet. What has been proposed for REDD early investment projects is relevant to forest sector, but could benefit from a wider vision on Low Carbon Development.	Medium Support of FCPF and UN-REDD to REDD National Coordination Unit

Detail of Indicator	Situation in 2007	Progress 2007 to 2010	Contribution of NICFI to progress 2007 to 2010 <sup>1</sup>
<b>3. MRV capacity and capability</b>			
Quality of national forest inventory	Low There is very little past knowledge and capacity to build on.	Low This is a key activity in the FCPF and UN-REDD supported R-PP and technically it will be a major challenge to set up a reliable MRV for DRC	High UN-REDD and FCPF have made it a priority. Also other non-NICFI actors are providing important input
Frequency of national communications to UNFCCC	Low	Medium The DRC Task Force is very active. DRC is heading the African Union for REDD in international forums.	Medium NICFI provides additional support to task-force through UNDP
Quality assurance and quality control of verification	Low	Low All effort is directed towards developing the foundations for MRV so as to be able to define the contours for control and verification.	Low Too early
<b>4. Deforestation and forest degradation</b>			
Rate of deforestation	0.20% At this stage these are estimates	0.20% A comprehensive wall-to-wall Landsat image analyses is carried out and is expected to give new far more reliable and up-to-date figures by late 2010. Drivers of deforestation are being defined through provincial multi-actor consultations.	Medium for knowledge and low for impact UN-REDD and FCPF have made it a priority to gain a better insight in deforestation patterns. It is too early to expect impact on deforestation.
Rate of forest degradation	0.12% At this stage these are estimates	0.12% See above. The precise definition of forest degradation in Central African forests still being debated.	As above

Detail of Indicator	Situation in 2007	Progress 2007 to 2010	Contribution of NICFI to progress 2007 to 2010 <sup>1</sup>
<b>5. Livelihoods, economic and social development and environmental conservation</b>			
Share of forest-based income of rural family income	Not known	Not known Yet the dependence of rural households on forest-based income is very high in DRC.	Low Efforts of FCPF and UN-REDD team to include it in other household surveys.
Present or planned sharing of REDD payments among stakeholder groups	Not known	No sharing nor plans yet Considering the size of DRC's forest it should be a great worry that to-date the country has received no interested parties (neither public nor private) to invest in DRC's substantial stock of forest-based carbon.	Medium Too early to judge, yet a very important element in the evolution of the REDD process in DRC.
Rights of indigenous peoples and local communities to land and forest resources	Low	Low to medium A number of important reforms on the way. It is mainly Congolese Civil Society and a number of International Conservation NGOs are proposing legislation and mechanisms to strengthen community rights. The manner in which Government will, during the coming years, adopt reforms on land and forest tenure will be a key indicator for REDD progress and for strengthening trust amongst stakeholders.	Medium Prominent on the FCPF and UN-REDD. The CBFF has it high on its agenda. It is the main agenda of RFN for its support to Congolese NGOs. However a lot of terrain needs to be covered to ensure secure rights.
Share of conservation forest of all forests	1.1%	No changes	Low No direct influence
Proportion of certified production forests	0%	No changes	Low No direct influence
Conservation included and applied in forest management guidelines	Poor	Partial	Low No direct influence

1. Through the mechanisms it supports: WB FCPF, UN-REDD, CBFF and occasionally other mechanisms (WWF and RFN)



# Annexes





## Annex 1

### People interviewed

#### Mission d'évaluation en temps réel du processus REDD en RDC

##### Liste des Personnes ayant été Rencontrées dans le cadre de la mission

N°	Nom et post-noms	Organisation	Fonction	Sexe
<b>Kinshasa</b>				
1	Kanu Mbizi	Coordination National REDD/RDC	Coordonnateur National REDD	M
2	Fabien Monteils	Coordination National REDD/RDC	Conseiller Technique Principal Programme ONU-REDD/RDC	M
3	Bruno Guay	Coordination National REDD/RDC	Conseiller Technique Assistant ONU-REDD/RDC	M
4	Denis Mahongol	PNUE/RDC	Point Focal UN-REDD	M
5	François Kapa	FAO/RDC	Expert Forêt Point Focal UN-REDD	M
6	Charles Wasikama	PNUD/RDC	Programme Officer Environnement	M
7	Joseph Bobia	RRN	Coordonnateur National	M
8	Roger Muchuba	RRN	Coordinateur GTCR	M
9	René Ngongo	GREENPEACE/RDC	Conseiller Politique Forêt	M
10	Bienvenu Ngoy Isikimo	GTF	Coordonnateur National	M
11	José Ilanga Lofonga	Direction des études et Planification (DEP)	Directeur Coordonnateur	M M
12	Vincent Kasulu	Direction de Développement durable	Directeur Coordonnateur	M M
13	Sebastien Malele Mbala	Direction d'Inventaire et Aménagement Forestier (DIAF).	Directeur Chef de Service	M
14	Laurent Nsenga	WWF	Che de Programme WWF/Bas-Congo	M
15	John B.Flynn, PhD	USAID	CARPE Director	M

N°	Nom et post-noms	Organisation	Fonction	Sexe
16	Nicodeme Tchamou	USAID	Coordonnateur Régional CARPE	M
17	Floribert Botamba / Theo Way	AWF	Coordonnateur Adjoint AWF	M
18	Yalulu Lampes Désiré	Ministère de l'Agriculture/Direction de la Production Protection des Végétaux	Directeur chef de Service	M
19	Mme Bintou Nyembo Viviane	Ministère des Mines/ Cellule Technique de Coordination et planification Minière	Chef de Département de l'hygiène, santé et Environnement Miniers	F
19	Mr Ferdinand Badila Luilamo	Ministère de l'Energie. Direction de l'Energie nouvelle et renouvelable	Directeur chef des Services	M
20	Prof Taba Kalulu	Primature	Conseiller Principal Collège Techniques et Ressources Naturelles	M
21	Mme Beatrice Makaya	Primature	Conseillère en charge de l'Environnement et Tourisme	F
22	Joseph Gari	PNUD DAKAR	Coordonnateur de l'Afrique UN-REDD	M
23	Andre Rodrigues Aquino	Banque Mondiale/RDC	Carbon Finance Specialist Environment Departement, SDN	M
24	Ken Creighton	WWF	Conseiller REDD	M
25	Bruno Perodeau	WWF	Coordinateur Forêt	M
26	Raymon Lumbuenamu	WWF - RDC	Directeur National	M
27	Thomas Legrande	Consultant PNUD	appui DSCRD	M
28	Bruno Hugel	CN-REDD / WWF		M
29	Chris Price	British Embassy	Infrastructure Adv., DFID - DRC	M
30	Kobi Bentley	British Embassy	Economic Advisor, DFID - DRC	F
31	Lars Ekman	Royal Norwegian Embassy, Luanda – Angola based in Kinshasa	Counsellor	M
<b>GOMA Nord Kivu</b>				
	Roger Malinga Kyavulya	Cabinet du Gouverneur Bureau d'études	Coordinateur	M



<b>N°</b>	<b>Nom et post-noms</b>	<b>Organisation</b>	<b>Fonction</b>	<b>Sexe</b>
	Maître Polain	Cabinet du Gouverneur Bureau d'études	Affaires légales	M
	Rugenera Kambibi Chantal	Ministère Provincial de l'Environnement, Tourisme, Jeunesse, Culture et Arts, Sports et Loisires	Ministre	F
	Alphonse Muhindi	Réseau CREF	Coordinateur	M
	Thierry Lusenge	WWF – Projet Ecomakala	Chef du projet	M
	Thierry Bodson	WWF - Virunga	Coordinateur programme	M
<b>Matadi Bas-Congo</b>				
	Mr Ngwizani	MINISTRY OF ENVIRONMENT, NATURE CONSERVATION AND TOURISM	Coordonnateur Provincial	M
	Mr Vonde	Gouvernorat	Conseiller chargé de coopération	
<b>CBFF - Tunis</b>				
	Clotilde Ngomba	AfDB – CBFF Secretariat	Coordinator CBFF	F
	Pierre Nguinda	AfDB – CBFF Secretariat	Forest management & Climate Change Expert	M

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# Annex 3

## Legal and institutional framework for forest resources management

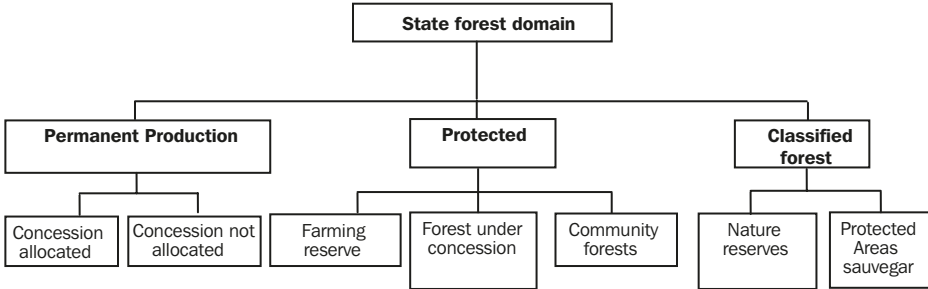
### Legal framework

The main legislation governing forest resource management in DRC is law 011/2002 pertaining to the Forest Code passed in August 2002 (Democratic Republic of Congo, 2002), which succeeded colonial legislation dating from April 11, 1949.

According to the Forest Code in DRC, forests are owned by the State (see figure 1). The Forest Code classifies the forests of DRC in three categories: 1) classified forests; 2) protected forests; and 3) permanent production forests. At the moment there is no national zoning plan that would define the geographical extend of the three categories.

**Classified forests:** In general, classified forests are designated for environmental protection and may include: nature reserves; forests located in national parks; botanical and zoological gardens; wildlife reserves and hunting areas; biosphere reserves; recreational forests; arboretums; urban forests; and protected areas.

**Figure 4 Legal forest classification in DRC according to the Forest Code of 2002**



Source: Eba'a atyi et al. 2009

**Protected forests** are subject to less restrictive legal regimes in terms of user and exploitation rights than classified forests. These forest lands are held under customary land rights, as recognised and reinforced by the 2006 DRC Constitution. In practice, forests in this category are areas reserved for activities such as small-scale farming (Art. 42). However, they may also be granted as concessions for logging with contracts not to exceed 25 years. Protected forests may serve as community forests as they can be granted to communities upon request (Art. 22).

**Permanent production forests** include previously allocated concessions and forests already used for timber production, identified through a public survey process (Art. 23), and designated for allocation via auction. These forests have commitments from industrial logging concessionaires to institute sustainable forest management.

Although the State owns the forest, the law details different procedures for its use by local people and private concessionaires (individuals or corporate entities).

Outside the forest/environment sector, other laws may affect the management of forest resources and biodiversity conservation, particularly in the case of mining<sup>15</sup>, land tenure<sup>16</sup> and the labour code<sup>17</sup>.

### The institutional framework

The Ministry of Environment, Nature Conservation and Tourism (MECNT) is the main State institution responsible for implementing government policy in the forest/environment sector. There is also the *Institut Congolais pour la Conservation de la Nature* (ICCN), founded in 1975, which aims to: 1) ensure the protection of wildlife and flora in nature reserves or integral reserves; 2) promote scientific research and tourism in these environments in compliance with the basic principles of nature conservation.

### Forest management and exploitation in DRC

Recent developments in the sector have been strongly influenced by the wars and political instability that has plagued DRC. Forest production from the permanent production forests fell between 1998 and 2003, to about 50,000 m<sup>3</sup> a year. Since then, strong growth has been observed and production had, in 2007, reached the level of that before the war (500,000 m<sup>3</sup> a year). It is likely that this growth did not continue in 2008 because of the impacts of the economic crisis on the market for tropical timber (ITTO, 2008) and the cancellation of some forest titles (conversion process, see below), but no published data is available to support this contention.

### Types of forest concession titles

DRC is currently moving towards adoption of the legislative framework described in the new Forest Code of 2002. The legislative framework of DRC provides for two principal types of logging titles: long-term titles for industrial purposes, and short-term titles for artisanal logging.

### Industrial forest concessions

Long-term titles established under the former legislation are being converted to forest concessions, as provided for in the Forest Code. This conversion process incorporates a comprehensive review of existing titles to judge their legal validity.

The Conversion of logging titles was part of the measures adopted by the Congolese Government in its priority agenda of 2002. It was noted that, many of the

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15 Law N° 007/2002 of 17 July 2002 as part of the Mining Code

16 Law N° 93-001 of 2 April 1993 relating to the general regime of regulation for property, land and property

17 Law N° 015/2002 of 16 October 2002 pertaining to the Labor Code

logging contracts signed before and during the war were problematic, most were speculative, concluded without consideration to the real value(s) of the resource, and without consultation (Debroux et al. 2007). The post-Forest Code priority agenda for the re-launch of the sector therefore included a review of logging titles. In 2006 an inter-ministerial commission was established to consider the validity 156 logging concessions, covering over 22 million hectares of forest. Those deemed valid would be converted and the rest cancelled. At the end of this process, 65 titles covering just over 9 million hectares were deemed convertible. Of the original 76 companies, only 18 retained their concessions. A further 16 concessionaires benefited from 'special comments' from the commission. These still hung in the balance and another commission was appointed to look into the matter. By June 2010 the process was ongoing. The conversion process has taken a long time because of heated debate on the moratorium from granting new forest titles that was also adopted in 2002. However, despite some contestation, the overall review process was generally deemed positive. Most stakeholders felt that it was a transparent process and viewed it more positively than the mining title review process.

The vast area of rain forest remains untapped and its timber resources very poorly developed. In comparison with other countries in the Congo Basin and the two other main rain forest blocks (the Amazon and Southeast Asia), formal production (500,000 m<sup>3</sup> of annual log production) is negligible.

The EU remains the main timber market for DRC; Asia has only a small market share.

### **The artisanal forest sector**

The volume of timber produced by the informal sector is inherently difficult to quantify, but it is thought to be considerable in DRC. While products from the industrial sector are generally intended for export, the informal sector is the main source of domestic timber. In addition, the informal sector exports to neighbouring countries such as Angola, Zambia, Burundi, Rwanda, Uganda, Kenya and Sudan (Lumbwe, 2001, Baker *et. al.*, 2003; Djiré, 2003). Djiré (2003) found that artisanal loggers produced between 1.5 and 2.4 million m<sup>3</sup>, which is between three and five times the production of the industrial sector. Artisanal timber producers work on short-term titles that are freely handed out by a variety of government administrations and after agreement with local traditional chiefs.

### **Collective forest concessions**

The Forest Code of 2002 does not provide for the creation of collective forests; however, it opens the possibility for decentralized administrative entities to manage permanent production forests (Art. 97). Currently no production forest is managed in this manner.

### **Community forest concessions**

The creation of community concessions, with the aim of developing permanent forest, is provided for in Article 22 of the Forestry Code. This provision is an important innovation providing opportunities for enhancing tenure over forest resources with local communities. A decree on the attribution of these community conces-

sions and an application text has been drafted and awaits final approval. Many on-going community based natural resource management initiatives (including participatory mapping and REDD pilot projects) will benefit from this formalised opportunity to devolve rights and management to local communities. However, so far there are no clear examples of effective development of community concessions.

### **Wood energy**

In addition, the wood energy sector in DRC is huge and probably the main consumer of wood resources from the DRC forests, estimated to represent 90% of total wood harvested. This is a totally un-regulated sector of primary importance for meeting the DRC people's energy needs. Few studies have been carried out on this sector, yet it is estimated to represent an annual volume harvested of 50 million m<sup>3</sup> with a possible value of over US\$ 1 billion.

### **Forest plantations**

Forest plantations are very poorly developed in DRC, with only 345 hectares planted in 2007 by the *Service National de Reboisement* (the national re-forestation service). However, there have been more recent private or NON-GOVERNMENTAL ORGANISATION initiatives to establish forest plantations. For example, the carbon sink project IBI Batéké, under the Clean Development Mechanism, plans to plant 8,000 ha of eucalyptus and acacia between now and 2011, having planted 534 ha in 2007. Another example is a WWF project, which established 200 ha of forest plantations in Luki in Bas-Congo.

### **Formal biodiversity and protected area management in DRC**

The formal and institutionalized management of biodiversity in DRC is mainly done through protected areas, which are the focus of efforts from the government, development partners and the national and international public. While the law provides for about ten types of protected area, DRC only had four types of officially classified protected areas as of 2008, covering a total area of nearly 26,314,300 ha (ICCN and WWF-RDC, 2008). These protected areas account today for more than 11% of national territory, close to the objective of 15% set by the Forest Code (Art. 14).

## Annex 4

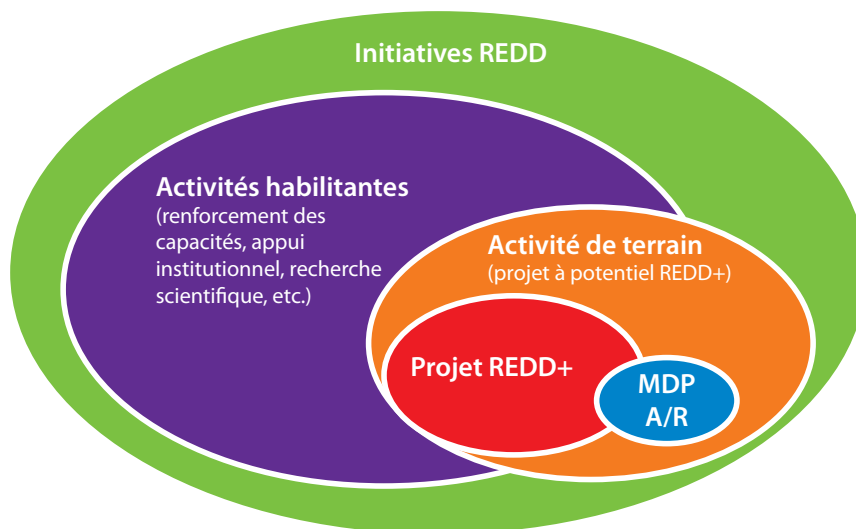
### Liste des Projets Pilotes REDD+

connus de la Coordination Nationale REDD de la RDC 16 septembre 2010  
(En l'absence d'un registre officiel cette liste n'est ni exhaustive ni officielle)

#### Introduction: la typologie du registre REDD de la RDC

Il est difficile de définir clairement ce qu'on entend par projet ou initiative REDD, vu la multitude de secteurs de l'économie et de la vie sociale qui sont potentiellement interpellés par les objectifs de la REDD. Afin de permettre l'enregistrement et le suivi des initiatives REDD en RDC, la Coordination Nationale REDD en collaboration avec la Division des Services Environnementaux du MECNT s'est attelée à créer une typologie pour les initiatives REDD. Cette typologie sera reprise dans le registre REDD de la RDC.

**Figure 1. Schéma illustrant les liens entre les divers catégories/appellation utilisé pour caractériser les initiatives REDD dans le cadre du registre National REDD de la RDC.**



#### Définitions

**Initiative REDD:** initiative ayant un impact direct ou indirect à court ou moyen terme sur les émissions de gaz à effet de serre dues à la déforestation et la dégradation forestière, la gestion durable et l'accroissement des stocks de carbone forestier et désirant s'insérer dans la stratégie nationale REDD+.

**NB:** cette définition sera utilisée pour faire le MRV du financement reçu par la RDC dans le cadre de la REDD.



Les initiatives REDD peuvent encore être subdivisées en trois grandes sous **catégories non mutuellement exclusives**.

1. **Les activités habilitantes**
  - a. Appui Institutionnel et Politique
  - b. Renforcement des capacités nationales et transfert de technologie.
  - c. Information, éducation, et communication
  - d. Promotion de la participation des communautés locales
  - e. Recherche scientifique
  
2. **Les activités de terrain:** activités mise en œuvre sur le terrain ayant un impact direct sur les émissions de gaz à effet de serre dues à la déforestation et la dégradation forestière, la gestion durable et l'accroissement des stocks de carbone forestier et désirant s'insérer dans la stratégie nationale REDD+ afin de minimiser son impact négatif et/ou maximiser son impact positif sur le bilan carbone de la zone affectée par l'activité.
  
3. **Projet REDD+:** "une initiative qui visent à enrayer les dynamiques de déforestation et/ou de dégradation forestière, sur une zone délimitée, afin de réduire les émissions de gaz à effet de serre liées à ces dynamiques, afin de **valoriser ces réductions d'émissions dans un mécanisme de compensations basées sur le résultat (fonds ou marché carbone)**. Ces réductions d'émissions doivent être mesurées, suivies et validées, d'après des méthodologies internationalement reconnues, et se faire par rapport à un scénario de référence estimé". Cette définition est en ligne avec la définition du Voluntary Carbon Standard. <http://www.v-c-s.org> et BioCf <http://wbcarbonfinance.org/Router.cfm?Page=BioCF>

Les projets **d'Afforestation et Reforestation du Mécanisme de Développement Propre du Protocole de Kyoto (MDP A/R)** doivent aussi être suivie dans le cadre du registre REDD de la RDC de la RDC afin d'éviter les doubles comptages au niveau carbone et éventuellement intégrer les projets de reboisement dans la dynamique REDD.

## Liste des initiatives REDD

### **C-1 Activités habilitantes (à compléter)**

Programme ONU-REDD et FCPF.

### **C-2 Activités de terrain**

**8 projets pilote REDD géographiquement intégrés** initiés par la Coordination Nationale avec pour objectif de tester diverses options et recueillir de l'information pour bâtir la Stratégie Nationale REDD+. Ces projets comportent de **nombreuses activités habilitantes**. Ces projets auront à terme le potentiel pour se transformer en projet REDD+ au sens de la définition présentée ci-haut, mais ne sont pas arrivés à ce stade aujourd'hui.

## **Projet Pilote REDD intégré autour de la Réserve de Biosphère de Luki dans la forêt du Mayombe**

- Localisation: Territoire de Moanda/ Province du Bas Congo
- Leader: WWF
- Nature: projet de développement rural intégré dans la forêt du Mayombe, une zone sous forte pression de déforestation
- Programmes 1, 2.3, 3, 4, 6, 7, 8, 9 et 10; voir schéma en annexe).

### **1. Projet Pilote REDD intégré ÉcoMakala +**

- Localisation: Territoires de Goma, Nyragongo et Rutshuru/ Province du Nord Kivu:
- Leader: WWF
- Nature: projet de plantation de petite échelle dans le bassin d'approvisionnement en bois de chauffe de Goma, avec production et commercialisation de briquettes, diffusion de foyers améliorés et amélioration des techniques de carbonisation, application de la loi et médiation foncière.
- Programmes 1, 2.1, 2.3, 3, 4, 6, 7,12; voir schéma en annexe

### **2. Projet Pilote REDD intégré d'Isangi**

- Localisation: Territoire d'Isangi/ Province Orientale
- Leader: société civile avec l'appui du programme ONU-REDD (PNUD)
- Nature: projet de développement rural intégré et d'aménagement du territoire dans une zone potentiellement sous forte pression dans l'avenir (front de colonisation). Gestion communautaire des forêts (micro-zonage participatif) et gestion des activités dans les forêts de production permanentes
- Programmes 1, 2.2, 2.3, 5, 6, 8, 9, 14; voir schéma en annexe

### **3. Projet Pilote REDD agroforestier intégré du Sud Kwamouth**

- Localisation: Territoire de Kwamouth/Province du Bandundu
- Leader: Société privée Novacel SPRL
- Nature: projet de développement rural intégré dans une zone fortement dégradée du bassin d'approvisionnement en bois de chauffe de Kinshasa
- Programmes 1, 2.3, 3, 7, 10, 11, 12, 14; voir schéma en annexe

### **4. Projet pilote REDD intégré de Mambassa**

- Localisation: Territoire de Mambassa/ Province Orientale
- Leader: société civile avec l'appui du programme ONU-REDD (PNUD)
- Nature: projet de développement rural intégré et d'aménagement du territoire dans une zone potentiellement sous forte pression dans l'avenir (front de colonisation). Gestion communautaire des forêts (micro-zonage participatif) et gestion des activités dans les forêts de production permanentes
- Programmes 1, 2.2, 2.3, 5, 6, 8, 9, 14; voir schéma en annexe

### **5. Projet d'appui à la société civile et au gouvernement dans le cadre de la REDD en Province de l'Équateur**

- Localisation: Province de l'Équateur
- Leader: Woods Hole Research Center, États-Unis

- Nature: projet de renforcement des capacités de la société civile et du gouvernement provincial dans le cadre de la REDD, incluant le développement d'un outil d'aide à l'aménagement du territoire, la mise en œuvre d'alternatives à la déforestation et le MRV de leurs impacts sociaux et environnementaux.
- Programmes 1, 2.1, 2.3, 3, 9; voir schéma en annexe.

**6. Projet Pilote REDD Intégré dans le paysage Maringa-Lopori-Wamba**

Localisation: Territoires de Djolu et Befale/ Province de l'Équateur

Leader: ONG Africa Wildlife Foundation (AWF)

Nature: projet de sédentarisation de l'agriculture sur brûlis, d'amélioration des conditions d'accès au marché et de développement d'une gestion communautaire des forêts (micro-zonage participatif) dans une zone de faible pression avec des pratiques agricoles extensives

Programmes 1, 2.1, 2.3, 3, 8, 9; voir schéma en annexe.

**7. Projet REDD géographiquement intégré de la chefferie de Kaponda**

Localisation: Chefferie de Kaponda, Territoire de..., Province du Katanga

Leader: ONG Premi-Congo, Université de Lubumbashi

- Nature: d'amélioration des conditions d'accès au marché et de développement d'une gestion communautaire des forêts (micro-zonage participatif) dans le bassin d'approvisionnement en bois énergie de Lubumbashi. Programmes 1, 2.3, 3, 7, 8, 10, 11, 12, 14; voir schéma en annexe

S'ajoute à ces projets 2 projets initiés par l'ONG WCS et la ZSL qui visent à réunir les conditions pour devenir des projets REDD+ mais qui ne se sont pas fixé d'objectif clair en ce sens dans le court terme.

**Projet de WCS autour de la Forêt de Misotshi-Kabobo dans le Katanga**

Localisation: Territoire de Kalemi et Fizi, Province du Katanga

Leader: Wildlife Conservation Society

Nature: projet de Conservation

Programmes 2.3, 3, 4, 6; voir schéma en annexe).

**Projet Virunga-Hoyo**

Localisation: Nord Kivu

Leader: Zoological Society of London

Nature: projet de développement rural intégré

Le Ministère de l'Environnement, Conservation de la Nature et Tourisme mène de son côté deux projets sectoriels en lien direct avec la stratégie REDD (potentielle fusion des deux projets):

**Projet d'Agroforesterie Communautaire sur les Plateaux Bateke et dans le Bas-Congo**

- Leader: Direction du Reboisement et de l'Horticulture / MECNT
- Nature: projet d'agroforesterie dans le bassin d'approvisionnement en bois de chauffe de Kinshasa.
- Programme 7 et 12; voir schéma en annexe.

### **Mise en œuvre des forêts des communautés locales en République Démocratique du Congo**

- Leader: Direction de la Gestion Forestière / MECNT
- Nature: projet d'accompagnement des communautés locales et autochtones dans le processus d'obtention des droits et appui à la gestion durable de leurs forêts.
- Programme 8 ; voir schéma en annexe.

NB: La mise en œuvre de forêts des communautés locales et la REDD seront intégrées dans le cadre du projet REDD géographiquement intégré de la Chefferie de Kaponda qui est également un site d'expérimentation du projet de Mise en œuvre des forêts des communautés locales en RDC.

### **C-3 Projets REDD+**

À ce jour la Coordination Nationale est au courant de trois (3) projets REDD remplissant la définition de projet REDD+ en RDC:

#### **Le projet de Conservation International autour de la Réserve de Tayna dans le Nord Kivu**

- Localisation: Territoire de Lubero province du Nord Kivu
- Leader: Conservation International (CI)
- Nature: projet de Conservation
- Programmes 2.3, 3, 4, 6; voir schéma en annexe).

#### **Le projet de la Société Américaine JADORA dans la concession SAFBOIS du Territoire d'ISANGI, District de la Tshopo en Province Orientale ([www.jadorallc.com](http://www.jadorallc.com)).**

- Localisation: Territoire d'Isangi/ Province Orientale
- Leader: JADORA/SAFBOIS
- Nature: projet de développement rural intégré et d'exploitation durable dans la concession forestière de SAFBOIS
- Programmes 2.3, 3, 4, 5, 7, 9; voir schéma en annexe

#### **Le projet Integrated IFM Logged to Protected Forest (Ltpf)/REDD+ Mai Ndombe Conservation Concession de la Société Canadienne Ecosystem Restoration Associates (ERA)**

- Localisation: Territoire d'Inongo, District de Mai Ndombe, Province du Bandundu
- Leader: Ecosystem Restoration Associates
- Nature: Projet de concession de conservation et de développement communautaire durable
- Programmes 2.3, 3, 4, 6, 7, 9; voir schéma en annexe

## Annex 5

### Propositions for early investments in REDD+ in DRC

#### – to be presented for mobilisation of funds in Cancun<sup>18</sup>

Based on the Mc Kinsey study and a ROSE evaluation exercise, the REDD NC Unit is proposing the following priority programs for early investment:

Priority programs	Strengths	Challenges
1. Zoning and Land-Use plans	<ul style="list-style-type: none"> <li>• Fundamental to REDD</li> <li>• Available national capacity</li> <li>• Moderate budget costs</li> <li>• Highly feasible</li> </ul>	<ul style="list-style-type: none"> <li>• Need for a strong implication of other sector ministries and need for collective work with civil society</li> </ul>
2. Harmonization and securing tenure	<ul style="list-style-type: none"> <li>• Fundamental to REDD</li> <li>• Multiple co-benefits</li> <li>• Complete national and local coverage</li> </ul>	<ul style="list-style-type: none"> <li>• Need for a strong implication of other sector ministries and need for collective work with civil society</li> </ul>
3. Intensify and sedentorize agriculture in forest zones	<ul style="list-style-type: none"> <li>• Large mobilisation of people in forest zone</li> <li>• Major potential results for REDD and key REDD sector</li> <li>• Results will show progressively</li> </ul>	<ul style="list-style-type: none"> <li>• Need for a strong implication of other sector ministries and need for collective work with civil society</li> </ul>
4. Afforestation and reforestation in peri-urban areas	<ul style="list-style-type: none"> <li>• Major potential results for REDD</li> <li>• Divers economic models</li> <li>• Results will show progressively</li> <li>• Engage urban population in REDD</li> <li>• Low opportunity costs</li> <li>• Mastered technically</li> </ul>	<ul style="list-style-type: none"> <li>• Depends on tenure security</li> </ul>
5. National deployment of improved stoves	<ul style="list-style-type: none"> <li>• Engage people in SME</li> <li>• High feasibility and mastered technically</li> <li>• Low opportunity cost</li> <li>• Results will show progressively</li> </ul>	<ul style="list-style-type: none"> <li>• Need for a strong implication of a number of ministries</li> </ul>
6. Stop illegal timber exploitation	<ul style="list-style-type: none"> <li>• Major potential results for REDD</li> <li>• Potentially quick results</li> <li>• Technically feasible</li> </ul>	<ul style="list-style-type: none"> <li>• Need for a strong implication of a number of ministries</li> <li>• Need for political leadership</li> <li>• Structural high costs</li> </ul>
7. Integrated district development programs	<ul style="list-style-type: none"> <li>• Engages all actors and sector at the district level</li> <li>• Strategic potential for direct result and scaling up</li> </ul>	<ul style="list-style-type: none"> <li>• High complexity</li> <li>• Need for strong local leadership</li> <li>• High investment costs</li> </ul>

<sup>18</sup> Translated from: Processus National REDD+: Introduction Programmes Anticipés; MECNT, Université d'Eté de la REDD 27 Août 2010

## Annex 6

### Jeune Afrique

#### **(issue of 15 to 28 August 2010) elections in DRC**

RD Congo: qui face à Kabila?

Présidentielle et législatives en novembre 2011, provinciales en juillet 2012, municipales en janvier 2013, locales en mai, nouvelles municipales en août... la RDC entre dans un cycle électoral chargé et donc coûteux. Selon Apolinaire Malu Malu, président de la commission électorale indépendante (CEI), le budget global s'élève à 556 million d'euros. L'état devrait en financer 60%, le reste incombant sans doute aux bailleurs de fonds, qui ne se sont pas encore prononcés. La mission de Nation Unies pour la stabilisation du Congo (MONUSCO) jouera un rôle technique et logistique.

Les enjeux sont à l'échelle de la RDC. Dans un pays-continent de 63 millions d'habitants, où les infrastructures routières sont aussi rares que vétustes, l'organisation d'un scrutin est une gageure. D'autant que le pays n'a pas l'habitude de voter. Il s'apprête à connaître les deuxièmes élections libres depuis l'indépendance.

Autre défi: la transparence. À peine annoncé par la CEI, le 10 août, le calendrier était critiqué. Francois Muamba, président par intérim du Mouvement de Libération du Congo (MLC, dans l'opposition), estime qu'il est l'aboutissement d'une décision «unilatérale» et préconise une consultation «de toutes les parties».

La controverse donne une idée de la tension. L'opposition voit arriver une chance de s'emparer enfin du fauteuil présidentiel. Mais elle n'a aucun poids lourd susceptible de l'emporter sur Joseph Kabila. L'adversaire de sa dernière en 2006, Jean-Pierre Bemba, le chef du MLC, est derrière les barreaux depuis mai 2008, inculpé des crimes de guerre et de crime contre l'humanité par la Cour pénale internationale. Bête noire de feu Mobutu, le chef de l'Union pour la démocratie et le progrès social (UDPS), Etienne Tshisekedi, 78 ans, est bien fatigué. Dans ces conditions, l'opposition a-t-elle vraiment intérêt à participer à une élection en 2011? Le calcul est inavouable, mais elle peut avoir avantage à faire traîner les choses. C'est l'inverse pour la majorité.

Le scrutin peut être explosive: de chaque côté, des partisans parfois fanatiques sont prêts à en découdre avec leur adversaires. De sa réussite dépend la consolidation des très fragiles institutions congolaises.

## Annex 7

### Terms of Reference

#### **Real-time evaluation of Norway's International Climate and Forest Initiative: The Initiative's support to the formulation and implementation of national REDD strategies**

*Final version, 11 June, 2010*

#### **General background: REDD and Norway's Initiative**

The primary objective of the Norwegian Government's climate policy is to play a part in establishing a global, binding, long-term post-2012 regime that will ensure deep enough cuts in global greenhouse gas emissions. To this end, the Government has launched Norway's International Climate and Forest Initiative and pledged substantial funding towards efforts to reduce emissions from deforestation and forest degradation.

Reducing emissions from deforestation and forest degradation in developing countries (REDD) has the potential to generate significant, cost-efficient and quick reductions in greenhouse gas emissions. It has been estimated that emissions from the forestry sector in developing countries account for about one fifth of the global CO<sub>2</sub> emissions. REDD has therefore attracted high-level political attention over the last few years<sup>1</sup>.

REDD is based on the idea that the international community can pay developing countries, either directly or to sub-national actors, to put in place policies and measures to reduce their rate of deforestation and forest degradation. This would be a cheaper option than reducing greenhouse gas emissions from sources in developed countries as well as from most other sectors, yet there is widespread consensus that REDD must add to deep emission reduction commitments from industrialised countries. REDD could also generate a range of co-benefits, such as biodiversity conservation and poverty alleviation.

However, as with any transforming policy, the success of REDD is dependent on numerous conditions. The debate and emerging literature on REDD has especially concentrated on the difficulty of designing an international and national REDD architecture that can channel reliable funding and ensure real emissions reductions, while also delivering co-benefits<sup>2</sup>. This involves issues such as determining the

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1 REDD is used here in a broad sense and generally includes the role of conservation, sustainable management of forests and enhancement of forest carbon stocks (i.e. REDD+).

2 See, for example: (1) Angelsen, A. (ed) 2008. Moving ahead with REDD: Issues, options and implications. CIFOR, Bogor, Indonesia. (2) Angelsen, A. with Brockhaus, M., Kanninen, M., Sills, E., Sunderlin, W.D. and Wertz-Kanounnikoff, S. (eds) 2009. Realizing REDD+: National strategy and policy options. CIFOR, Bogor, Indonesia.

source and mechanism of finance (public or private, fund-based or market-based, compliance or non-compliance markets) and the scale of REDD (national or sub-national accounting), setting reference levels for REDD payments, developing systems for monitoring, reporting and verification (MRV), addressing possible land tenure reforms, ensuring the rights of indigenous peoples and local communities, and establishing governance safeguards, including fighting corruption in the forestry sector.

Norway's International Climate and Forest Initiative was launched by the Norwegian Government at COP-13 in December 2007, pledging up to 3 billion Norwegian kroner per year over five years to reduce emissions from deforestation and forest degradation in developing countries<sup>3</sup>. The objectives of the Initiative are<sup>4</sup>

1. to work towards the inclusion of emissions from deforestation and forest degradation in a new international climate regime
2. to take early action to achieve cost-effective and verifiable reductions in greenhouse gas emissions
3. to promote the conservation of natural forests to maintain their carbon storage capacity.

The Initiative is being financed by official development assistance (ODA) funds. Thus, the overriding objectives of Norwegian foreign development policy also apply to the Initiative, in addition to the directly climate-related objectives listed above. These objectives include social and economic development, poverty reduction, the welfare and rights of indigenous peoples and other people living in or from forests, better land use, and the protection of biodiversity and the environment in general. In the work towards these goals, it is a goal in itself that the climate policy and the foreign development policy are to be mutually supportive.

The Initiative supports the UN Collaborative Programme on Reduced Emissions from Deforestation and Forest Degradation (UN-REDD Programme) jointly managed by FAO, UNDP and UNEP, the Forest Carbon Partnership Facility (FCPF) and the Forest Investment Program (FIP) managed by the World Bank, the Congo Basin Forest Fund (CBFF) managed by the African Development Bank, and the Amazon Fund managed by the Brazilian Development Bank (BNDES). Norway has also entered into a bilateral agreement with Tanzania, signed a Memorandum of Understanding with Guyana and with Mexico, and a Letter of Intent with Indonesia. Non-governmental organisations are funded through a grant scheme administered by the Norwegian Agency for Development Cooperation (Norad)<sup>5</sup>.

The overall responsibility for the Initiative lies with the Ministry of the Environment, where a secretariat has been established. The Ministry of Foreign Affairs, supported by Norwegian missions abroad and Norad, is responsible for foreign and development policy related to the Initiative, as well as the management and disbursement

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3 COP is an abbreviation for Conference of the Parties, which is the supreme body of the UNFCCC. COP-13 took place at Bali, Indonesia.

4 See Proposition No. 1 to the Norwegian Parliament 2008-2009

5 For more details about NICFI, see the web site (also available in English): <http://www.regjeringen.no/dep/md/tema/klima/klimaogskogprosjektet.html?id=548491>



of funds. An inter-ministerial body has been established for coordination and, when necessary, the facilitation of government discussions related to the Initiative.

It is essential to recognise the strategic nature of the Initiative. It was launched with the aspiration that it would contribute in building support for the potential of REDD to prevent climate change and encourage initiatives and funds from other parties in the international community. Substantial risks due to existing economic interests and weak governance in many of the countries harbouring the largest remaining tropical forests were recognised, and the Initiative was launched with an emphasis on the importance of patience, a long-term perspective and the need to experiment and learn from experience. Indeed, the development of national REDD strategies and implementation mechanisms are expected to require substantial time and support in most countries. An important objective of the Initiative is therefore to support capacity development and the political reforms needed to facilitate REDD over the longer term.

### **The real-time evaluation framework**

The need for timely information and rapid learning calls for a real-time evaluation to progressively assess the results of the Initiative with regard to its objectives and the general objectives of Norwegian development cooperation. The real-time approach is especially useful in fast-moving situations, and the developing issues around REDD are just that. As the Initiative is expected to be a significant recipient of Norwegian ODA funds for several years, it is also in the interest of policy-makers and the public to have access to up-dated and impartial information about the progress and status of the Initiative. Hence, the real-time evaluation should serve both a documentation function and a learning function. This approach allows the Initiative to adjust its programming during the course of implementation, i.e. in real time.

The real-time evaluation will cover a time span of four years, i.e. 2010-2013. A framework agreement has been signed with a consortium of independent consultants and experts led by LTS International. The work load has been estimated at 150 weeks per year, distributed among several evaluation assignments. The terms of reference and timing of the different evaluation tasks will be agreed with the consultants and concerned stakeholders on a case-by-case basis. Each evaluation will be commissioned as a call-off order under the framework agreement.

The real-time evaluation should cover all the partners that have received ODA grants, including multilateral, bilateral and non-governmental agencies. In order to stimulate continuous learning and debate, the concerned stakeholders will be actively consulted during the evaluation process and reports will be made available to the general public.

The overall objectives of the real-time evaluation are to assess the results of the Initiative's support:

1. for improving the prospects of the inclusion of a REDD mechanism in a post-2012 climate regime

2. for the preparation of mechanisms and implementation of activities to attain verifiable reductions in greenhouse gas emissions
3. for the conservation of natural forests to maintain their carbon storage capacity
4. with regards to the general objectives of Norwegian development cooperation, such as those related to livelihoods, economic and social development and the environment.

The first three objectives refer to the objectives of the Initiative, while the fourth objective derives from the use of ODA funds.

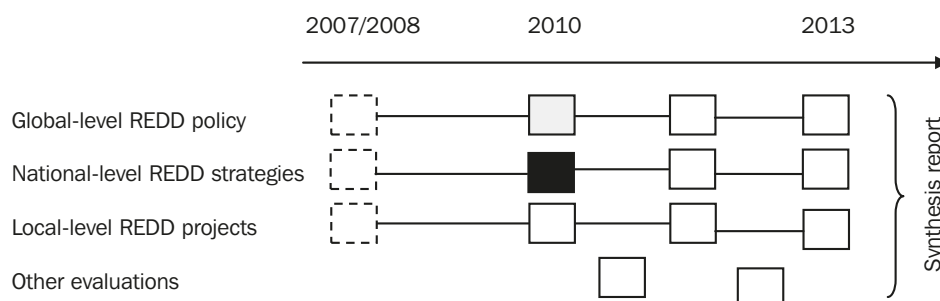
The final product of the real-time evaluation is expected to be a synthesis report that addresses the four overall objectives. However, in order to develop a synthesis and to create learning and provide feedback to the Initiative along the way, a series of evaluations will be carried out. It is envisaged that the real-time evaluation will consist of three core evaluation tasks, which will be repeated at regular intervals (e.g. 2010, 2012, 2013), combined with stand-alone evaluations or studies of specific thematic or geographical areas (e.g. evaluations of anti-corruption measures, effectiveness of different funding channels and mechanisms). The backbone of the real-time evaluation will be the following three core evaluations:

- Global level: The Initiative's contribution to an international REDD regime
- National level: The Initiative's support to the formulation and implementation of national REDD strategies
- Local level: Lessons learned from REDD demonstration projects supported by the Initiative

The global level evaluation will primarily address the first objective of the real-time evaluation, while the national and local level evaluations will primarily address the second, third and fourth objective of the real-time evaluation.

The three levels correspond to the notions of policy, programme and project. While the global level evaluation is policy-oriented and the local level evaluation is project-oriented, the national level ('programme') evaluation will assess the formulation and implementation of REDD strategies in a selection of case study countries. All the evaluations shall combine assessments of the status and progress of the overall REDD agenda with efforts to identify the actual contributions of the Initiative. The latter will be a main methodological challenge for the whole evaluation exercise, especially in cases where funding has been channeled through multilateral agencies and development banks.

**Figure 1. A conceptual model of the real-time evaluation. Dashed lines indicate baseline (which shall be established retrospectively), grey box indicates an on-going evaluation, black box indicates the present evaluation, and white box indicates a planned evaluation.**



There is also a need to closely coordinate this real-time evaluation with the monitoring and evaluation programmes of the Initiative's partners. It is known that the UN-REDD Programme, FCPF, CBFF, BNDES, and Norads' Civil Society Department are already planning reviews of their respective portfolios. There are also numerous research and development groups involved in REDD related studies, e.g. Centre for International Forestry Research (CIFOR) is conducting a global comparative study on REDD<sup>6</sup>. Norad's Evaluation Department and the evaluation team need to continuously follow the developments across the international REDD arena in order to avoid duplication of work and to incorporate knowledge generated by others.

### The present evaluation

The present evaluation task concerns the national level described above. It aims to evaluate the Initiative's support to the formulation and implementation of national REDD strategies and other REDD readiness efforts, as of 2010. As the international REDD architecture is likely to build on national policies and measures, this evaluation task will constitute a main pillar of the whole real-time evaluation programme.

The target countries for Norway's International Climate and Forest Initiative are at different stages of REDD planning and implementation, ranging from initial readiness stage (early phase 1) to advanced REDD strategy formulation (late phase 1) and results-based REDD actions (phase 2)<sup>7</sup>. Consequently, the funds are used for different purposes, including stakeholder consultations, capacity-building, institutional strengthening, demonstration activities, and enforcement of policies and measures. In Brazil and Guyana, the Initiative's payments are intended to create incentives for REDD actions while the funds will be used to address a wider agenda beyond the Initiative's REDD related objectives (cf. the Amazon Fund and Guyana's Low Carbon Development Strategy, respectively).

The Initiative's funding at the country level is delivered through a diversity of channels and mechanisms, including a single multilateral institution with multiple donors

<sup>6</sup> See CIFOR's web site: <http://www.cifor.cgiar.org/>

<sup>7</sup> The phased approach to REDD has not been formally adopted. For details about the proposed phases, see the IWG report (Report of the Informal Working Group on Interim Finance for REDD+. Discussion document, 27 October 2009). In short, phase 1 refers to national REDD strategy development, phase 2 refers to implementation of national policies and measures for REDD, and phase 3 refers to performance-based payments on the basis of quantified forest emissions and removals against agreed reference levels.

(e.g. FCPF in Ghana), a single multilateral institution with multiple donors combined with a multi-bi program through an international financial institution (FCPF and Guyana REDD+ Investment Fund in Guyana), two multilateral institutions (e.g. FCPF and UN-REDD Programme in Bolivia), two multilateral institutions combined with a bilateral programme (e.g. FCPF, UN-REDD Programme and Royal Norwegian Embassy in Tanzania), two multilateral institutions combined with a regional fund (e.g. FCPF, UN-REDD Programme and CBFF in the Democratic Republic of Congo), and direct bilateral payments to a national fund (Amazon Fund in Brazil). Among these mechanisms, only the support to the Amazon Fund is directly performance-based (phase 2), but the Initiative also plans to make performance-based payments to Guyana and Indonesia.

The Initiative's wide geographical coverage (> 40 countries) and multiple support channels (multilateral, bilateral and non-governmental) create methodological and practical challenges in the evaluation process<sup>8</sup>. However, assessing the aid effectiveness with respect to REDD performance over time in a few selected countries may serve both the documentation function and the learning function of the real-time evaluation. In this initial evaluation, five countries have been selected for case studies, but other countries may be added at a later stage.

### **Purpose and objectives**

The purpose of this evaluation is to assess the Initiative's support to the formulation and implementation of national REDD strategies<sup>9</sup>. This will be achieved by developing a real-time methodology upon which the status and progress of national REDD performance can be evaluated<sup>10</sup>. The national level evaluations using the same methodology (or adapted methodology if found necessary) will be carried out periodically in the selected countries.

Accordingly, the present evaluation has two main objectives:

1. Develop a methodology for the real-time evaluation of the Initiative's support to the formulation and implementation of national REDD strategies
2. Evaluate the status and progress of the Initiative's support to the formulation and implementation of national REDD strategies in a selection of case study countries as of 2010

As an integral part of the real-time evaluation approach, the learning aspect shall be addressed by identifying lessons learned and their potential implications for the Initiative's future support to the formulation and implementation of national REDD strategies.

### **Scope**

The evaluation shall include the following five countries: Brazil, Guyana, Democratic Republic of Congo, Tanzania, and Indonesia. These countries receive significant support from the Initiative through different channels and mechanisms, they are at

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<sup>8</sup> The geographical coverage also includes countries supported by FCPF only.

<sup>9</sup> 'Support' refers to financial contributions and policy and technical advice conveyed through the different channels and mechanisms that ultimately target national REDD efforts.

<sup>10</sup> Status and progress of national REDD performance shall be measured against the second, third and fourth objective of the real-time evaluation, cf. page 3.

different stages in the forest transition, they represent different national policy contexts, and they cover each of the three tropical continents.

Whereas the evaluation shall attempt to identify the actual contributions of the Initiative, it shall also include an assessment of the status and progress of the national REDD processes as a whole. This will ensure that the findings and recommendations from this evaluation could also be relevant for other REDD actors. The contributions of the Initiative need to be mapped by providing a summary of how its financial resources are being used by year (i.e. fund recipients, size of funding, country, activities).

National REDD strategies are expected to be informed by demonstration projects at the sub-national level, and hence, the evaluation shall carry out a preliminary mapping of such projects in the case study countries. While also relevant for addressing the objectives of this evaluation (cf. evaluation questions below), the available information about the REDD demonstration projects shall primarily feed into the subsequent local level evaluation described above<sup>11</sup>. In Brazil, therefore, the performance of the Amazon Fund's project portfolio is, for the purpose of the present evaluation, subordinate to the wider REDD policies and measures at national level<sup>12</sup>.

As the three climate-related objectives of the Initiative are supplemented with the development-related objectives associated with the use of ODA funds (cf. objective 4 of the real-time evaluation), including those related to poverty alleviation, indigenous peoples' rights, environment, and anti-corruption, the evaluation should try to distinguish between the climate-related effects and the development-related effects of the Initiative.

The time period under investigation in the present evaluation is 2007-2010. The launching of the Initiative in 2007 (COP-13) should serve as a base year for later evaluations, and hence, particular emphasis should be placed on assessing the national REDD situation at that stage, i.e. constructing a baseline retrospectively. The contributions of the Initiative towards the formulation and implementation of national REDD strategies should then be evaluated for the period 2007-2010.

The evaluation should focus on the relative contributions of the Initiative rather than the overall performance of the fund recipients.<sup>13</sup> This is particularly relevant in cases where the funding is channeled through multilateral agencies and development banks. In such cases, the emphasis should be on the strategic contributions of the Initiative in influencing the policies and programmes of the fund recipients, and not only on the actual outcomes in terms of carbon effectiveness, cost efficiency, equity and co-benefits on the ground.

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11 Separate Terms of Reference will be developed for the local level REDD project evaluation.

12 The activities financed through the Amazon Fund are not necessarily part of the government's action plan to combat deforestation or an integral part of Plano Amazonas Sustentavel (PAS) since there is no direct link between the Amazon Fund and these programs (see 'Assessment of BNDES as a potential mechanism for Norwegian support to the Fundo Amazônia (Amazon Fund)', Norad, 27 June 2008).

13 It should be recognised that NICFI operates in an institutional context that is largely determined by other actors. The preexisting actors and frameworks limit the range of available options.

## Evaluation questions

The below list of questions is not exhaustive and the questions may have different relevance for the different case study countries.

### *Formulation of national REDD strategies*

National ownership:

- To what extent has the Initiative's financial and policy support contributed to building political REDD leadership and commitment?
- To what extent has the Initiative contributed to strengthening institutional capacities at the national level?
- To what extent has the Initiative contributed to cross-sectoral coordination within the government in the target countries?
- To what extent has the Initiative contributed to active involvement by civil society to enhance national ownership?

Donor support and coordination:

- To what extent has the Initiative and its partners contributed to a coordinated and harmonised approach to REDD at the country level?
- To what extent have the Initiative's multilateral partners responded to the support needs of the country?
- How has Norwegian ODA policies and the Initiative's viewpoints on social and environmental safeguards related to equity and co-benefits been communicated and negotiated with the fund recipients?<sup>14</sup>
- To what extent has the Initiative contributed to creating synergies across countries?

Consultation process:

- To what extent has the REDD stakeholder consultations been inclusive and participatory?
- To what extent has the national REDD process involved indigenous peoples and local communities?
- To what extent has the Initiative's support to civil society organisations and research institutions contributed to the national REDD strategy?
- How has the issue of equity and co-benefits been treated in the stakeholder consultations?

Policy content:

- Is the REDD strategy at present soundly formulated, based on solid analysis and data, and likely to be efficient and effective in promoting emissions reductions?
- Has the REDD strategy been effective in promoting diagnosis of causes of forest carbon emissions, including external drivers, and formulation of plans to reduce emissions?

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<sup>14</sup> Equity refers to the sharing of REDD benefits among different stakeholders, while the debate on co-benefits in REDD has concentrated on environmental services (e.g. biodiversity), socio-economic services (e.g. poverty alleviation), governance and rights issues (e.g. rights of indigenous peoples and local communities), and climate change adaptation. Safeguards refer to donor policies that promote equity and co-benefits, while avoiding harmful side-effects, e.g. anti-corruption safeguards and anti-plantation safeguards.

- To what extent is the REDD strategy integrated into the wider policy framework of the country, including land tenure policies, agricultural and energy policies, and infrastructure development plans?
- To what extent is the REDD strategy coordinated with Nationally Appropriate Mitigation Actions (NAMAs) or broader national low carbon strategies, and to what extent are REDD payments proposed to be channeled into NAMAs?
- Which sub-national incentives for REDD have been developed in the REDD strategy?
- Which institutional set-up is proposed at the national level in order to manage sub-national payments and ensure that the MRV system would meet international reporting and verification requirements?
- How adequate are the proposed MRV systems for carbon fluxes?
- To what extent are the proposed reference levels robust and credible enough to prevent any profiteering and free riding (capturing REDD payments on changes that would have taken place anyhow)?
- Is the REDD strategy likely to have a positive impact on livelihoods, development, and local environment (i.e. equity and co-benefits)?
- To what extent have social and environmental safeguards related to equity and co-benefits been incorporated into the REDD strategy?

#### *Implementation of national REDD strategies<sup>15</sup>*

- To what extent have the Initiative's REDD payments contributed to cost-effective and verifiable reductions in greenhouse gas emissions?<sup>16</sup>
- To what extent is the implementation of the REDD strategy addressing the underlying drivers of deforestation and forest degradation in the country?
- What is the quality of greenhouse gas emissions data on which the payments are based?
- To what extent is the Initiative contributing to improving the MRV system?
- To what extent is the Initiative's funding mechanism additional, contradictory or supplementary to other REDD-related policies and measures of the government?<sup>17</sup>
- To what extent are social and environmental safeguards related to equity and co-benefits being enforced and implemented through national REDD policies and measures?
- To what extent is the implementation of the REDD strategy likely to achieve the development-related objectives and contribute to equity and co-benefits?<sup>18</sup>
- How are stakeholders, especially indigenous peoples and local communities, involved in the implementation of the REDD strategy?

### **Methodology**

The evaluation shall apply international best-practices to ensure objective, transparent, evidence-based and impartial assessments and learning. The methodology

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<sup>15</sup> Mostly relevant for Brazil and Guyana at present (i.e. phase 2 countries), but also applicable in countries where REDD measures are implemented while the REDD strategy is being developed. Note that the strategy in Guyana refers to REDD+, while Brazil's policies and measures predate the REDD agenda and primarily deal with reduced deforestation in the Amazon.

<sup>16</sup> REDD payments can contribute either directly to reductions in greenhouse gas emissions by earmarked funding to REDD activities (e.g. support to REDD demonstration projects), or indirectly by creating incentives where payments are based on documented results (e.g. the Amazon Fund).

<sup>17</sup> This is particularly relevant in Brazil, cf. footnote above.

<sup>18</sup> Where REDD funds are provided or planned to be provided to national entities, it is important to map how and to whom they are distributed to assess whether those sectors or social groups who are bearing the main costs of REDD are being compensated.

shall be standardised into a real-time evaluation framework that allows comparisons over time. This includes the definition of a set of common indicators that (i) remain valid throughout the real-time evaluation period, (ii) can be used across countries, (iii) address the overall objectives of the real-time evaluation, (iv) cover the issues raised in the evaluation questions, and (v) enable attribution of observed results to inputs from the Initiative. The baseline for each indicator shall be reconstructed and compared to the situation as of 2010.

The country case studies shall include field visits and in-depth literature surveys. The evaluation shall be based on stakeholder interviews and document reviews, including research papers, reports and policy documents.

The analysis shall refer to the three OECD/DAC criteria relevance, effectiveness and efficiency. The latter will require that the evaluation prepares an inventory of the actual outputs and outcomes at the national level and compare them with the Initiative's inputs through the different funding channels and support mechanisms. The corresponding terminology in the REDD literature, i.e. carbon effectiveness, cost efficiency, and equity and co-benefits (the 3E+ criteria), may also be helpful in analysing the data.

In developing the evaluation framework, the monitoring and evaluation systems developed internally by the Initiative's partners (e.g. FCPF's M&E framework) should be considered and drawn upon.

Based on these guidelines, LTS International shall develop a detailed work plan and methodology.

### **Evaluation team**

This evaluation will require team members with in-depth knowledge about the forestry sector and policy development in the target countries combined with international REDD experts.

LTS International shall suggest a composition of team members, taking notice of the size of the evaluation (see below) and the expected distribution of personnel categories agreed for the overall real-time evaluation.

### **Budget**

The estimated size of this evaluation is 83 person weeks. LTS International shall propose a budget based on the personnel requirements and the expected travel and subsistence expenses.

### **Deliverables and time frame**

14 June: Proposed team and final Terms of Reference

16 June: Start of the evaluation

20 July: Inception report<sup>19</sup>

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<sup>19</sup> The inception report shall pay special attention to possible country-specific adjustments in the evaluation questions and the scope of the evaluation, presenting an adjusted and extended outline of the country evaluation reports of the four countries reflecting the respective country situation as well as an extended outline for a synthesis report. It shall also propose a detailed time schedule of each country evaluations, methodology for collecting and analysing data using a real-time approach.



August: Country field visits, including validation workshops

10 September: Five draft final country evaluation reports

1 October: Draft final synthesis report

29 October: Final report

November: Seminars in Oslo

The reports shall be prepared in accordance with the Evaluation Department's Guidelines for Reports.



## EVALUATION REPORTS

- 4.98 Development through Institutions? Institutional Development Promoted by Norwegian Non-Governmental Organisations
- 5.98 Development through Institutions? Institutional Development in Norwegian Bilateral Assistance. Synthesis Report
- 6.98 Managing Good Fortune – Macroeconomic Management and the Role of Aid in Botswana
- 7.98 The World Bank and Poverty in Africa
- 8.98 Evaluation of the Norwegian Program for Indigenous Peoples
- 9.98 Evaluering av Informasjons støtten til RORGene
- 10.98 Strategy for Assistance to Children in Norwegian Development Cooperation
- 11.98 Norwegian Assistance to Countries in Conflict
- 12.98 Evaluation of the Development Cooperation between Norway and Nicaragua
- 13.98 UNICEF-komiteen i Norge
- 14.98 Relief Work in Complex Emergencies
- 1.99 WID/Gender Units and the Experience of Gender Mainstreaming in Multilateral Organisations
- 2.99 International Planned Parenthood Federation – Policy and Effectiveness at Country and Regional Levels
- 3.99 Evaluation of Norwegian Support to Psycho-Social Projects in Bosnia-Herzegovina and the Caucasus
- 4.99 Evaluation of the Tanzania-Norway Development Cooperation 1994–1997
- 5.99 Building African Consulting Capacity
- 6.99 Aid and Conditionality
- 7.99 Policies and Strategies for Poverty Reduction in Norwegian Development Aid
- 8.99 Aid Coordination and Aid Effectiveness
- 9.99 Evaluation of the United Nations Capital Development Fund (UNCDF)
- 10.99 Evaluation of AWEPA, The Association of European Parliamentarians for Africa, and AEI, The African European Institute
- 1.00 Review of Norwegian Health-related Development Cooperation 1988–1997
- 2.00 Norwegian Support to the Education Sector. Overview of Policies and Trends 1988–1998
- 3.00 The Project “Training for Peace in Southern Africa”
- 4.00 En kartlegging av erfaringer med norsk bistand gjennom frivillige organisasjoner 1987–1999
- 5.00 Evaluation of the NUFU programme
- 6.00 Making Government Smaller and More Efficient. The Botswana Case
- 7.00 Evaluation of the Norwegian Plan of Action for Nuclear Safety Priorities, Organisation, Implementation
- 8.00 Evaluation of the Norwegian Mixed Credits Programme
- 9.00 “Norwegians? Who needs Norwegians?” Explaining the Oslo Back Channel: Norway’s Political Past in the Middle East
- 10.00 Taken for Granted? An Evaluation of Norway’s Special Grant for the Environment
- 1.01 Evaluation of the Norwegian Human Rights Fund
- 2.01 Economic Impacts on the Least Developed Countries of the Elimination of Import Tariffs on their Products
- 3.01 Evaluation of the Public Support to the Norwegian NGOs Working in Nicaragua 1994–1999
- 3A.01 Evaluación del Apoyo Público a las ONGs Noruegas que Trabajan en Nicaragua 1994–1999
- 4.01 The International Monetary Fund and the World Bank Cooperation on Poverty Reduction
- 5.01 Evaluation of Development Co-operation between Bangladesh and Norway, 1995–2000
- 6.01 Can democratisation prevent conflicts? Lessons from sub-Saharan Africa
- 7.01 Reconciliation Among Young People in the Balkans An Evaluation of the Post Pessimist Network
- 1.02 Evaluation of the Norwegian Resource Bank for Democracy and Human Rights (NORDEM)
- 2.02 Evaluation of the International Humanitarian Assistance of the Norwegian Red Cross
- 3.02 Evaluation of ACOPAMA ILO program for “Cooperative and Organizational Support to Grassroots Initiatives” in Western Africa 1978 – 1999
- 3A.02 Évaluation du programme ACOPAMA Un programme du BIT sur l’« Appui associatif et coopératif aux initiatives de Développement à la Base » en Afrique de l’Ouest de 1978 à 1999
- 4.02 Legal Aid Against the Odds Evaluation of the Civil Rights Project (CRP) of the Norwegian Refugee Council in former Yugoslavia
- 1.03 Evaluation of the Norwegian Investment Fund for Developing Countries (Norfund)
- 2.03 Evaluation of the Norwegian Education Trust Fund for Africa in the World Bank
- 3.03 Evaluering av Bistandstorgets Evalueringnettverk
- 1.04 Towards Strategic Framework for Peace-building: Getting Their Act Together. Overview Report of the Joint Utstein Study of the Peace-building.
- 2.04 Norwegian Peace-building policies: Lessons Learnt and Challenges Ahead
- 3.04 Evaluation of CESAR’s activities in the Middle East Funded by Norway
- 4.04 Evaluering av ordningen med støtte gjennom paraplyorganisasjoner. Eksempifisert ved støtte til Norsk Misjons Bistandsnemda og Atlas-alliansen
- 5.04 Study of the impact of the work of FORUT in Sri Lanka: Building Civil Society
- 6.04 Study of the impact of the work of Save the Children Norway in Ethiopia: Building Civil Society
- 1.05 –Study: Study of the impact of the work of FORUT in Sri Lanka and Save the Children Norway in Ethiopia: Building Civil Society
- 1.05 –Evaluation: Evaluation of the Norad Fellowship Programme
- 2.05 –Evaluation: Women Can Do It – an evaluation of the WCDI programme in the Western Balkans
- 3.05 Gender and Development – a review of evaluation report 1997–2004
- 4.05 Evaluation of the Framework Agreement between the Government of Norway and the United Nations Environment Programme (UNEP)
- 5.05 Evaluation of the “Strategy for Women and Gender Equality in Development Cooperation (1997–2005)”
- 1.06 Inter-Ministerial Cooperation. An Effective Model for Capacity Development?
- 2.06 Evaluation of Fredskorpset
- 1.06 – Synthesis Report: Lessons from Evaluations of Women and Gender Equality in Development Cooperation
- 1.07 Evaluation of the Norwegian Petroleum-Related Assistance
- 1.07 – Synteserapport: Humanitær innsats ved naturkatastrofer: En syntese av evalueringsfunn
- 1.07 – Study: The Norwegian International Effort against Female Genital Mutilation
- 2.07 Evaluation of Norwegian Power-related Assistance
- 2.07 – Study Development Cooperation through Norwegian NGOs in South America
- 3.07 Evaluation of the Effects of the using M-621 Cargo Trucks in Humanitarian Transport Operations
- 4.07 Evaluation of Norwegian Development Support to Zambia (1991 - 2005)
- 5.07 Evaluation of the Development Cooperation to Norwegian NGOs in Guatemala
- 1.08 Evaluation: Evaluation of the Norwegian Emergency Preparedness System (NOREPS)
- 1.08 Study: The challenge of Assessing Aid Impact: A review of Norwegian Evaluation Practise
- 1.08 Synthesis Study: On Best Practise and Innovative Approaches to Capacity Development in Low Income African Countries
- 2.08 Evaluation: Joint Evaluation of the Trust Fund for Environmentally and Socially Sustainable Development (TFESSD)
- 2.08 Synthesis Study: Cash Transfers Contributing to Social Protection: A Synthesis of Evaluation Findings
- 2.08 Study: Anti-Corruption Approaches. A Literature Review
- 3.08 Evaluation: Mid-term Evaluation the EEA Grants
- 4.08 Evaluation: Evaluation of Norwegian HIV/AIDS Responses
- 5.08 Evaluation: Evaluation of the Norwegian Research and Development Activities in Conflict Prevention and Peace-building
- 6.08 Evaluation: Evaluation of Norwegian Development Cooperation in the Fisheries Sector
- 1.09 Evaluation: Joint Evaluation of Nepal’s Education for All 2004-2009 Sector Programme
- 1.09 Study Report: Global Aid Architecture and the Health Millennium Development Goals
- 2.09 Evaluation: Mid-Term Evaluation of the Joint Donor Team in Juba, Sudan
- 2.09 Study Report: A synthesis of Evaluations of Environment Assistance by Multilateral Organisations
- 3.09 Evaluation: Evaluation of Norwegian Development Cooperation through Norwegian Non-Governmental Organisations in Northern Uganda (2003-2007)
- 3.09 Study Report: Evaluation of Norwegian Business-related Assistance Sri Lanka Case Study
- 4.09 Evaluation: Evaluation of Norwegian Support to the Protection of Cultural Heritage
- 4.09 Study Report: Norwegian Environmental Action Plan
- 5.09 Evaluation: Evaluation of Norwegian Support to Peacebuilding in Haiti 1998–2008
- 6.09 Evaluation: Evaluation of the Humanitarian Mine Action Activities of Norwegian People’s Aid
- 7.09 Evaluation: Evaluation of the Norwegian Programme for Development, Research and Education (NUFU) and of Norad’s Programme for Master Studies (NOMA)
- 1.10 Evaluation: Evaluation of the Norwegian Centre for Democracy Support 2002–2009
- 2.10 Synthesis Study: Support to Legislatures
- 3.10 Synthesis Main Report: Evaluation of Norwegian Business-related Assistance
- 4.10 Study: Evaluation of Norwegian Business-related Assistance South Africa Case Study
- 5.10 Study: Evaluation of Norwegian Business-related Assistance Bangladesh Case Study
- 6.10 Study: Evaluation of Norwegian Business-related Assistance Uganda Case Study
- 7.10 Evaluation: Evaluation of Norwegian Development Cooperation with the Western Balkans
- 8.10 Evaluation: Evaluation of Transparency International
- 9.10 Study: Evaluability Study of Partnership Initiatives
- 10.10 Evaluation: Democracy Support through the United Nations
- 11.10 Evaluation: Evaluation of the International Organization for Migration and its Efforts to Combat Human Trafficking
- 12.10 Evaluation: Real-Time Evaluation of Norway’s International Climate and Forest Initiative (NICFI)
- 13.10 Evaluation: Real-Time Evaluation of Norway’s International Climate and Forest Initiative. Country Report: Brasil

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