



Food and Agriculture
Organization



United Nations
Development Programme

**UN COLLABORATIVE PROGRAMME ON REDUCING EMISSIONS FROM DEFORESTATION
AND FOREST DEGRADATION IN DEVELOPING COUNTRIES
JOINT PROGRAMME DOCUMENT**

Country: **Democratic Republic of Congo**

Programme Title: **UN-REDD DR Congo Quick Start Programme – Year 1**

Joint Programme Outcome(s): **Enabling conditions for a REDD strategy are in place.**

<p>Programme Duration: 12 Months Anticipated start/end dates: June 2009 – May 2010 Fund Management Option(s): Pass-through Managing or Administrative Agent: UNDP</p>	<p>Total estimated budget*: US\$ 1,883,200 Out of which: 1. Funded Budget: – 2. Unfunded budget: US\$ 1.883,200 * Total estimated budget includes both programme costs and indirect support costs</p>
<p>Sources of funded budget: UN-REDD Multi-Donor Trust Fund (Original source: Government of Norway)</p>	

Names and signatures of (sub) national counterparts and participating UN organizations

<i>UN organizations</i>	<i>National Coordinating Authorities</i>
<p><i>Representative United Nations Food and Agriculture Organization (FAO) [Signature, Date & Seal]</i></p>	<p><i>Minister for the Environment Date & Seal</i></p>
<p><i>M. Adama Guindo Country Director United Nations Development Programme (UNDP) [Signature, Date & Seal]</i></p>	<p><i>M. Vincent Kasulu Director for Sustainable Development & National REDD Focal Point Ministry for the Environment (MECNT) Date & Seal</i></p>
<p><i>Name of Representative United Nations Environment Programme (UNEP) [Signature, Date & Seal]</i></p>	

DRAFT – 5th March 2009

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INTRODUCTORY NOTE

The REDD process in DR Congo (DRC) took off during an intense, multi-stakeholder and participatory REDD Scoping Mission in 19-30 January 2009 (the report of the mission is attached to this document). This mission, which included 9 different international organisations as well as both governmental and non-governmental stakeholders, succeeded in agreeing both the national approach to the REDD process and a work plan for 2009-2010.

This document derives directly from that REDD mission and represents phase-1 of the National Joint Programme (NJP) for UN-REDD. It contains quick-start activities for one year and for a budget of US\$ 1.88 million. Stakeholders considered that splitting UN-REDD's NJP in two phases was a reasonable approach in order to start activities soon while offering flexibility to design the mid-term stage of the REDD process. By the end of this first year, a phase-2 NJP will be developed and submitted to the UN-REDD Policy Board, to cover years 2-3 and the remaining budget of about US\$ 2.42 million.

This NJP contains all core elements, yet a few details are under finalisation. The country and UN-REDD agencies considered crucial to submit this proposal to the March 2009 meeting of UN-REDD Policy Board given the momentum of REDD in DRC (with qualitative multi-stakeholder dialogue and a participatory spirit) and the eagerness of the stakeholders involved. Upon approval of the Policy Board for the budget allocation the DRC team will finalise and approve the NJP, including recommendations received from the UN-REDD Policy Board. The Government is already finalising a REDD implementation decree (to institutionalise the process) and setting up a national REDD office and supporting structures (for which this NJP will be instrumental). Institutional and technical capacities are significantly weak in DRC, due to the post-conflict context, and therefore this NJP is indispensable to back the REDD process.

1. Executive Summary

This programme aims at putting in place the enabling conditions for a REDD strategy in the DR Congo. Its core objectives are: (i) to prepare a Readiness Plan (R-Plan) through a participatory and multi-stakeholder approach; (ii) to inform and train stakeholders in order for them to actively participate in the REDD process; and (iii) to lay the technical foundations for REDD. The programme is accordingly structured in 3 components that respond to each of these objectives (see Results Framework in Section 4 below).

The Programme corresponds to a phase-1 of UN-REDD, for a duration of one year approximately, during which phase-2 (for years 2-3) will be formulated and duly submitted to the UN-REDD Policy Board. The budget for this phase-1 is estimated at about US\$ 1.88 million. The programme was elaborated through a qualitative dialogue with governmental and non-governmental stakeholders, both national and international. Its current structure and contents were developed during a multi-stakeholder and participatory REDD mission in January 2009 (the report is attached to this proposal for reference and details).

The programme will be financed from a Multi-Donor Trust Fund (MDTF) for UN-REDD, with funding from the Government of Norway, which may be complemented in the future. The MDTF will be implemented via a Pass-Through mechanism, which distributes technical and financial roles among the participating agencies (in this case: FAO, UNDP and UNEP). Within country, the programme will be lodged in the National REDD Office, which is being established now and to which this programme will support in both financial and technical terms. A Chief Technical Advisor and an administrative assistant will be recruited to manage the programme within Government, as well as to provide qualitative technical advice and to ensure harmonisation between the 3 participating U.N. agencies and other relevant stakeholders.

2. Situation Analysis

2.1 Introduction

The Democratic Republic of Congo (DR Congo) has been selected by the UN REDD Oversight Board as one of the nine candidates for REDD-Readiness pilot projects. Approximately US\$4.3 million may be available for each country, with access to this funding dependent upon the development and UN-REDD Policy Board's approval of a nationally endorsed UN Joint Programme proposal – this document.

This document is the end product of an intensive four month development process involving a large number of national and international actors. The substance was consolidated and agreed upon during a 2-week, multi-stakeholder and participatory mission, with the participation of the 3 UN agencies that are part of UN-REDD (FAO, UNDP, UNEP), a delegation of Norway (as observer), the World Bank (as core partner for REDD in DR Congo) and 4 international NGOs with valuable and complementary expertise on REDD (WWF, WHRC, Rainforest Foundation and ONF-International). The report of such REDD Scoping Mission is attached to this proposal as key support documentation. The proposal document is based on the template for the UN Revised Standard Joint Programme Document version 2008 –with additional detail provided on the context and strategy.

2.2 The key features of DR Congo as a UN REDD pilot country

The nine UN REDD pilot countries are all very different and the lessons learned from these pilots are expected to assist many other countries in their REDD readiness programmes. The key features of DR Congo in this respect are as follows:

- **Scale** – The humid tropical forests of concern are in the order of 1 million km² with a further 1.5 million km² of woodland, savannah and wetlands. For many rural livelihoods, biodiversity conservation and for carbon capture, this is a globally significant asset.
- **Regional setting** – The forests of DR Congo represent 60% by surface area of the forests of the Congo Basin. Forest sector governance in the Basin is a regional issue and there is a longstanding formal sub-regional partnership (COMIFAC) aimed at harmonization and improving the sustainability of forest management in the 10 member states. Work in DR Congo will enrich the regional REDD process.
- **Low historical deforestation rates** – The Congo Basin is fortunate in that it retains the great majority of its forest cover and historical and current deforestation rates are relatively low compared to say some countries in Asia and Latin America. This positive sign however poses particular challenges for the application of REDD, notably in relation to the Reference Scenario.
- **Under-development** - DR Congo is one of the world's poorest and least developed countries, with very high levels of extreme poverty. Its economy is based principally on subsistence agriculture and extraction of natural resources. Entering a REDD regime would serve to improve rural livelihoods and forest conservation as part of the same, concerted effort.
- **Post Conflict recovery** – Over the period 1996–2003, DR Congo suffered two major wars with some 4 million people killed and hundreds of thousands, displaced. Some armed conflict persists to date, mostly in the Eastern part. The country is now in a post-conflict recovery and stabilisation process – which offers a unique window of opportunity for embedding change as the government and the economy develop from a very low base. Natural resources, such as forests, represent a crucial aspect of development.
- **Substantive UN REDD partner national presence** – The UN as a whole has a major presence in DR Congo with an unprecedented humanitarian, peacekeeping and development support, which entails a budget in excess of US\$2 billion per annum. All three of the UN

REDD partners (UNDP, FAO and UNEP) have operational offices in Kinshasa. The UNDP and FAO operations are substantive and UNEP is commencing a post-conflict recovery programme, working in partnership with these agencies and a range of other partners. Hence there is unusually strong and united capacity in the agencies at the national level.

- **Substantive ongoing activities in REDD relevant sectors** – As a result of its global significance, the forests of DR Congo actually receive significant levels of international assistance. There is a high level of activity in fields such as protected area management, community based natural resource management and institutional capacity building, which are all relevant for the REDD process.

In summary, DR Congo is considered to be a highly appropriate but also challenging UN REDD pilot country, yet it will require substantive support in terms of capacity-building, international technical assistance and continued follow-up. Further regional and national background details are provided in the remainder of this section.

2.3 Regional context – The Congo Basin

The Congo Basin forest

The Congo Basin forest, located within the boundaries of Cameroon, Central African Republic, Democratic Republic of Congo, Equatorial Guinea, Gabon, and Republic of Congo, is the world's second largest contiguous block of tropical forest on the planet harboring an extraordinary biodiversity, with 10,000 species of plants, 1,000 species of birds, and 400 species of mammals. Its regional level of endemism is extremely high with up to 85% of native plants found only here. It is home to more than 24 million people, most of whom rely on forest for their livelihoods. The Congo Basin forest also performs valuable ecological services, such as flood control, climate regulation at the local and regional levels, and buffer against global climate change with huge amount of carbon stored in its abundant vegetation.

The forests of the Congo Basin are estimated to be a carbon sink of 24-39 Gt of carbon (i.e., three to four times the level of worldwide anthropogenic emissions of greenhouse gases). The Congo Basin forests form an integrated ecological unit, encompassing the territories of Cameroon, Central Africa Republic, Democratic Republic of Congo, Equatorial Guinea, Gabon and the Republic of Congo. Economic integration is increasing, with a planned expansion of trans-boundary transport infrastructure, the emerging regional market for commodities and the migration of population. Forests of the Congo Basin are interconnected and the six countries are strongly committed to a harmonized approach to preserve their forests (cf. Summit of the Head of States in 1999 and the Treaty of the COMIFAC in 2005).

Basin deforestation rates and drivers

The Congo Basin's ecosystems have not yet suffered the damage observed in many other regions (Amazonia, South East Asia) and are quite well-preserved. Contrary to other large forest-rich countries, such as Brazil or Indonesia, the development policies of the Congo Basin countries have not so far been conducive to deforestation. This is not to say that there been no deforestation, but it has been mainly due to poverty and has had a relatively small impact in terms of area and overall emissions. The Congo Basin countries are therefore referred to as 'high forest, low deforestation' countries.

The current situation characterized by low historical rates of deforestation may be changing, however. There are signs that the Congo Basin forest is under increasing pressure from a variety of forces, including oil and mineral extraction, road development, agribusiness, biofuels, in addition to agriculture expansion for subsistence and population growth – factors which might drastically amplify the rate of deforestation and forest degradation in the coming decades.

Beyond occasional studies on investment feasibility and news reports on actual investments, the evidence that long-term deforestation trends are on the rise is anecdotal. There is therefore a need

to assess these trends in a much more rigorous way if they are to be taken into account in setting the reference emissions levels for the purpose of a post-2012 climate regime.

Regional forestry governance - COMIFAC

At the regional level, the most significant governance forum and instrument is COMIFAC- Conference Des Ministres En Charge Des Forests D'Afrique Centrale and its associated Plan de Convergence 2003 -2010. DR Congo is a signature to this plan which sets out a detailed road map for harmonization and advancement of sustainable management of the forests of central Africa. Multiple elements of the convergence plan have direct relevance for REDD.

Regional REDD initiatives

As one of the COMIFAC signatories, DR Congo is committed to harmonization of forest related policies via the Convergence Plan. This includes climate change linked initiatives such as REDD. Hence any support to DR Congo on REDD should be in alignment with and support the COMIFAC efforts on REDD. In addition one of the primary drivers of COMIFAC level coordination on REDD will be to identify and attempt to manage REDD leakage points at the sub-regional level, i.e. through deforestation trends simply shifting from one country to another in response to differing policies and levels of enforcement.

COMIFAC partners met in Washington DC on October 23rd 2008 and agreed a detailed work plan of action on REDD, with a focus on preparations for the climate treaty negotiations in Copenhagen December 2009. This workplan has a strong emphasis on harmonization of the technical development work needed for all countries to achieve REDD readiness. There is a very strong financial and coordination rationale for example for the development and agreement of standard methodologies and terms and sub-regional plans.

The combined UN REDD and World Bank REDD readiness investment in DR Congo (in the next 1-3 years) is expected to be much higher than similar investments in other COMIFAC countries. Hence efforts in DR Congo REDD readiness should lead the way for COMIFAC and significant efforts should be made to share the benefits of the REDD investment in DR Congo with the other countries.

COMIFAC is receiving separate technical and financial support for REDD readiness with a short term focus on Copenhagen 2009, but this does not extend to substantive technical development. Hence there is a need to ensure the technical development work within this DR Congo project includes activities to spread the benefit to and assist in harmonization with the COMIFAC countries.

In addition, the Congo Basin Forest Fund is a regional financing mechanism, administered by the African Development Bank, with the aim to protecting forests and reducing deforestation. It entails US\$ 200 million from Norway and UK's DFID in equal parts. It will finance governmental and non-governmental proposals alike, whether regional, national or local. It thus represents a source of funding for governments, NGOs, civil society organisations and the private sector, encouraging them to work together.

2.4 Country Context

Socio-economic status

Despite its great natural resources, the DR Congo remains at the bottom three of the world's poorest countries based on its GDP per capita. Between 1995 and 2004, GDP per capita consistently decreased and subsequently increased between 2004 and 2006 from 639 dollars to 980. Agriculture represents 55% of GDP whereas industry and services represent 11% and 24% respectively. This vast country has 80 millions hectares of arable land, the second largest water basin in the world and 125 million hectares of forests. Despite its great agricultural potential, it only exploits 10% of available land and imports 29% of its cereal. Furthermore, it exploits only 2.5% of its potential hydroelectric power. In 1998, only 6% of households had access to electricity compared with 25% for the rest of sub-Saharan Africa. The DR CONGO contains 49% of the world's cobalt reserves

which translates into 3.4 million tones. Despite this great mineral wealth, the impact on the financial and employment sector remains weak.

The DR CONGO has an annual population growth rate of 2.9% and is home to 60 million people, 60% of which are under 20 years of age. The average life expectancy is 43.3 years and an estimated 73% of the population does not consume a sufficient amount of calories, compared to 33% in sub-Saharan Africa. The Human Development Index varies greatly between provinces. Kinshasa has the highest score, twice as high as the Equateur Province.

Political and stability status

DR Congo is currently in the process of long term post-conflict recovery. A democratic government model is in place and governance authority is being gradually decentralized. Conflict remains in isolated parts of the eastern provinces. The marked lack of infrastructure and the size of the country means that the majority of the population is relatively isolated and the reach of the central government is somewhat limited outside of the main cities.

2.5 Forestry Context

The forests of the Democratic Republic of Congo

Forests in DR Congo cover about 135 million ha (Mha)/1.35 million km², or 60% of the land, including about 85 Mha of dense humid forests representing about half of African dense humid forests. Carbon stocks in forest biomass in DR Congo are the second largest in the tropical world; depending on estimates, they range from 20.4 to 36.7 billion tC (the estimate in the national report to FRA 2005 [2] amounts to 32.1 billion tC).

Deforestation rates and drivers

The current DR Congo national annual net rate of deforestation is an estimated 0.20 %, which is the highest in the Congo Basin. Deforestation is mainly caused by the expansion of subsistence farming, either through shifting cultivation or by direct conversion of forests into small-scale permanent agriculture. Fuelwood collection and charcoal burning is also a clear cause of forest degradation up to full deforestation around major urban centers.

Logging activities are modest for the time being in DR Congo (pit sawing by the informal sector processes about 2 million m³ annually for the whole country, while logging companies harvest 300,000 m³ a year); however, patches of intensive logging are causing forest degradation in some parts of the country. This situation is under review however as currently the government is considering the terms for re-opening logging concessions for up to 9 million ha/90,000km².

Forest sector governance

The key institution for forestry and REDD in DRC is the "Ministère de l'Environnement, Conservation de la Nature et Tourisme" (MECNT). Sustainable management of forests is an important part of MECNT's mandate; a Thematic Group on Forests is operational, which is chaired by the Minister himself, co-chaired by the "Ministère du Plan", and involves relevant MECNT Directorates together with representatives of the international agencies supporting the forestry sector in DRC. As regards REDD in particular, the most important Directorates of the MECNT are the "Direction du Développement Durable" and the "Direction Inventaire et Aménagement Forestier".

The main other Ministries relevant to REDD are the following: "Ministère de l'Agriculture", "Ministère du Développement Rural", "Ministère des Mines", "Ministère des Travaux Publics et de l'Aménagement du Territoire", and "Ministère du Plan". Inter-ministerial consultation is apparently low and inter-ministerial coordination is said to be seldom operational.

The legislation most relevant to REDD is the Forest Code ("Code Forestier") adopted in 2002, and the corresponding regulatory framework ("textes d'application") which have been devised with the assistance of FAO and progressively adopted until 2008. The Forest Code, which is replacing a forest legislation dating back to 1949, is based on a modern approach aiming at developing the

multipurpose roles and functions of the forests with active participation of the local population. Three categories of forests have been established, including gazetted forests (for nature conservation and environment protection mainly), permanent production forests (for large and long term concessions), and protected forests for which utilization rules are more flexible (e.g. medium term logging contracts, community forests, or even agriculture).

DRC is currently in a transition phase to materialize these categories on the ground. In particular, after the cancellation of the pre-Forest Code harvesting permits in 2003, a "conversion" process is underway by which candidate concession holders have to apply to obtain a new title in line with the new Code.

The main governance challenge in DRC is not so much about having an adequate legal framework, but about enforcing the law. As an example, the above mentioned Forestry Code is not fully enforced for the time being; most of the area forest taxes remain at the central level and a tiny portion of them only seldom reaches the provincial level; examples of local communities actually benefiting from the redistribution of these taxes only exist under some pilot operations.

This may be of particular importance for REDD when REDD moneys will have to reach their main beneficiaries at the local level. It is therefore essential to expand such pilot operations, and encourage the debate on this issue, at the national, provincial and local levels.

Forestry management and capacity building activities

The most significant activity ongoing on forestry management in DR Congo is the finalization and launch of the The "Programme National Forêts et Conservation de la Nature (PNFoCo)". A first draft was produced in 2003; recently updated (March 2008), it is currently being reviewed by key stakeholders at the provincial level.

Once finalized, PNFoCo is supposed to provide a strategic framework for the development of the forestry sector with a 10-year time horizon. PNFoCo relates overall to REDD, since its main objective is to develop SFM in DRC; it relates also more specifically to REDD under its components 2 (participatory land use planning), 5 (rural forestry, with a focus on channeling back forest revenues to local communities) and 6 (environment). The updated "Agenda Prioritaire pour la Relance du Secteur Forestier" (February 2008) attached to the PNFoCo document includes also several important REDD related points (e.g. actually transferring 40% of the area taxes to provinces and territories, supporting and scaling up land use planning initiatives, developing innovative financing instruments based on carbon storage and other environmental services).

Comprehensive and major World Bank support to the forestry sector is being prepared in line with the PNFoCo. The focus is on strengthening the capacities of DRC institutions and civil society organizations so that they can better implement, enforce and monitor the new policies contained in the Forest Code. The main instruments for this will be the Forest and Environment Sector Project (IDA: US\$ 64 million), a GEF grant for national parks, and a Multi-Donor Trust Fund (Belgium, European Union, France, United Kingdom, and Luxembourg) to improve forest governance. These operations will support participatory land use planning, community forestry, participatory development of sustainable management plans, strengthened enforcement capacities for concessions, and improved management of artisanal logging.

Conservation activities

Apart from general forestry management the most significant government input to forestry conservation is in its management of legally protected areas: specifically national parks, game reserves and protected wetlands, which together cover some 8% of the country. The government authority responsible for protected area management is the Institute Congolese Pour La Protection du Nature (ICCN). Illegal deforestation inside protected areas is a recognized problem, particularly in the eastern provinces.

The NGO sector is highly active in forest conservation in DR Congo. Most of the major international environmental NGOs -- including WWF, WRI, the Rainforest Foundation, WCS and CI -- are involved

and collectively have a large number of projects and pilot operations in support of participatory management of natural resources and environmental protection. These international organisations are working with many more national environmental and community oriented NGOs, many of which are members of NGO platforms and networks.

The forestry conservation sector has a broad international funding base. Key players include the African Development Bank, the European Union, FAO, GEF, UNDP, UNEP, The World Bank, bilateral donors (Belgium, France, Germany, the United Kingdom, the United States of America) and some international NGOs.

2.6 REDD Readiness context

The Deforestation/Degradation Reference Scenario

In December 2007, the Conference of Parties to the UNFCCC in Bali recognized the concept of Reducing Emissions from Deforestation and Forest Degradation (REDD) as a significant opportunity for climate change mitigation in developing countries. Emissions from deforestation and forest degradation will have to be monitored, reported and verified in comparison to a reference level (reference scenario). This reference scenario would be based on historical emissions, but should also take into account 'national circumstances' (Bali Action Plan, 2007).

This decision is encouraging for the Congo Basin countries, characterized by large forest cover and low historical rates of deforestation and degradation; however setting the reference scenario remains very challenging: historical rates of deforestation are not a good predictor of future trends given the increases in emissions expected to result from economic policies and development trajectories. Hence, there is a critical need to develop methodologies capable of predict deforestation and degradation based on independent variables, such as macroeconomic and political trends.

REDD stakeholder engagement

The two major challenges for adequate REDD stakeholder engagement in DR Congo will be: (a) access, and (b) divergent views and vested interests.

The most important stakeholders of a potential REDD regime in DRC – which will be the hardest to access and engage - are the direct actors in the deforestation and forest degradation processes. They include mainly the numerous village communities and their customary authorities, the growing migrant populations escaping from conflict zones, and all the actors of the fuelwood/charcoal business involved in wood collection, charcoal burning, and further transportation to and distribution in major urban centers. These stakeholders are those who could make a REDD strategy work, and who should be the main direct beneficiaries of any REDD regime.

The NGOs are also important REDD stakeholders since (i) they should be key actors in involving local communities in the implementation of a REDD regime, and (ii) their constituencies will benefit from REDD environmental and social co-benefits.

The other key REDD stakeholders are the private sector, specifically (i) the logging concession holders and the wood industry, which would benefit from reduced threats from deforestation on their resources thanks to REDD, and (ii) the potential investors in industrial agriculture (e.g. palm oil, rubber), which are likely to be affected by some REDD related constraints;

In DR Congo, relations between these various stakeholders are mixed: whilst they do not always cooperate and there is an element of mutual distrust. The forest sector is one of the typical domains of clash between the government, the private sector and civil society.

Civil society perceives Government as indulgent with logging, even as accomplice of the corruption and human displacement that often surrounds illegal logging. Nevertheless, the current Government is carrying out a major shift in forest policy, especially since the results of a major inter-ministerial commission on forest concessions have been released and adopted: 91 of the 156 forest

concessions will be cancelled, amounting to 57% of the surface assessed or some 12 million hectares. On the other hand, Government regards civil society as an ever-lasting advocacy player, with little concern for policy making and for addressing the economic and development challenges of the country.

Despite this heritage of distrust between Government and civil society, the REDD process has started in DR CONGO as a cooperative effort among both actors. They have discussed and participated in joint events, nationally and abroad. The international REDD mission, in January 2009, was a clear multi-stakeholder and participatory exercise, where both Government and civil society discussed and prepared a REDD workplan together (see attached Appendix B report from the REDD Scoping mission). There are good prospect for REDD to advance as a participatory effort where Government and civil society dialogue, cooperate and even share responsibilities. All stakeholders are aware that the building of a REDD regime can only succeed if it rests on solid participatory grounds.

A key partner – The World Bank and REDD in DR Congo

The World Bank has a parallel process on investment in REDD readiness in DR Congo and so substantive efforts have been made and will continue to ensure harmonization between the Bank and UN REDD in DR Congo.

Specifically, DR Congo has been nominated a REDD Country Participant in the World Bank administered Forest Carbon Partnership Facility (FCPF) and thus is eligible for funding via a relatively standardized process. In the first instance, the government will receive a grant of US\$200,000 to assist it in development of a Readiness Plan (R-Plan). Development of the R-Plan is expected to take up to 1 year or more and its completion is one of the criteria for eligibility for the next stage of assistance (which is anticipated to be in the order of 3-5 million).

The World Bank approach to fund management is different from the UN approach in that the former is government executed. Hence the initial grant will provide vital enabling funds in particular for the development of government capacity.

The design of this project has been developed in liaison with the World Bank. A FCPF team from the World Bank participated actively during the REDD Scoping Mission of 19-30 January 2009 and provided input to the preparation of this draft. In addition, the mission served to ensure harmony between FCPF and UN-REDD, and to agree on a country-based REDD process. This synergy included agreement between FCPF, UN-REDD and Government for the establishment of a national REDD office (National REDD Coordination) through which both FCPA and UN-REDD activities would be implemented.

REDD Readiness data and technical needs

Compared to many other sectors, the forestry sector in DR Congo is relatively well endowed with historical data; however major challenges remain to improve data collection and evaluation to REDD ready standards.

Forest cover and land use DRC is well supplied with REDD relevant geographical data, dealing with forest and other land cover; it is also well covered with forest change studies based on satellite imagery, at the country or at the Congo Basin levels. The main set of available data and corresponding studies at the country level are the following:

- Forest maps at a 1:50,000 scale over 16 Mha of forests, based on aerial photographs dating back to the 1950s and the 1960s (1:40,000 scale) or to the late 1970s (1:20,000 scale);
- The first forest change study, over the 1980–1990 period, carried out with FAO assistance under the FRA 1990 exercise.
- The land cover map produced at a 1:200,000 scale in 2003, under the FAO Africover Project which covered 10 Eastern African countries with the assistance of Italy from 1995 to 2002.
- A forest change study carried out with WWF assistance on satellite imagery around 2005.

In addition, DRC is benefitting from two complementary forest change studies which are being carried out at the level of the Congo Basin in a coherent and very cooperative manner:

- With FORAF (EU-JRC and UCL) support, changes in forest cover (deforestation and reforestation) and other main types of land use are being studied on the basis of a sample of Landsat images (at 30 m resolution) taken in 1990, 2000 and 2005. This study is expected to be completed by mid-2009;
- With CARPE/USAID support, the Decadal Forest Change Mapping Project focuses on creating forest cover maps to provide a baseline for future monitoring of forest resources. The UMD, SDSU, and NASA are cooperating to complete this mapping effort by mid-2009.

Carbon Data Forest resources data, from which forest carbon can be estimated, are very partial and patchy in DRC. Indeed, only about 21 Mha of forests out of an estimated total of 135 Mha had once some kind of inventory.

DRC reporting on forest carbon to FRA 2005 was based on forest cover and standing volume estimates, derived from the above mapping exercises and inventories, to which standard factors were applied.

Data on carbon stocks in land cover types other than forests are very scarce in Congo Basin countries. Only few pioneering studies are giving an idea of the carbon stocks in some post-deforestation situations. As an example, preliminary results are showing that carbon stocks in a 20-year old fallow resulting from shifting cultivation or a 20-year old oil palm plantation are not exceeding one fourth of pre-deforestation stocks.

3. Strategies, Lessons Learned, Risk Assessment, Sustainability of Results

3.1 The Joint Programme Strategy

Summary

The programme strategy is based upon the following principles, listed and then described in turn below:

- Dividing the anticipated long term investment into phases;
- Establishing and supporting the National REDD strategy and REDD office;
- Focusing on capacity building and foundational activities;
- Encouraging a participatory design process
- Identifying and managing the risks;

Dividing the Quick-Start programme into two years

REDD in DR CONGO is at an early stage of development and a detailed national strategy and workplan is yet to be developed. In addition climate change negotiations in Copenhagen December 2009 will have a significant impact on the economics and schedule for REDD projects financed through carbon trading. Finally much of the technical development work is at an early stage, with a range of scoping and feasibility studies required before detailed work can begin in several areas.

Hence robust planning is only possible for up to 12 months, which is the period proposed for this funding allocation. A second proposal will be developed and submitted within Year 1 to allow for a smooth transition to Year 2.

Establishing and supporting the National REDD strategy and REDD office

The core of the project strategy is for UN REDD in DR CONGO to be an integral and founding part of a national REDD strategy and associated national REDD office. Management details are provided in later sections but are based upon the following principles:

- Co-location of national and international counterparts in a national REDD office facility based in Kinshasa;
- Coordination of REDD related efforts at a national level via a formal structure of oversight and steering committees and associated technical task teams.
- Assurance of broad stakeholder participation through membership in the coordination mechanisms;
- Staged, participatory design of a national REDD strategy;
- Compulsory liaison of international REDD efforts with the national REDD strategy and coordination mechanisms.

Focusing on capacity building and foundational activities

The central objective of UN REDD is to assist the government and civil society of DR Congo achieve a state of REDD readiness. Hence the role of UN REDD in DR CONGO is primarily to build capacity and to assist the government in technical development at the national and sub-national level.

The forest and land management sectors in DR Congo currently suffer from a significant lack of trained manpower. Application of REDD will exacerbate this skills gap. Hence there is a clear and urgent need for large scale routine technical capacity building – for both routine forest and land management and for the more specialized REDD topics.

There is strong national desire for REDD activities in DR Congo to progress rapidly towards practical field based activities resulting in visible benefits for the local population. This is acknowledged however achieving this is not a realistic goal for Year 1 – particularly given the noted gap in capacity. An underlying goal for UN REDD Year 1 should be to establish the conditions to enable practical field projects in later phases and using other funding sources such as the CBFF.

Encouraging a participatory design process

The NJP formulation is based principally upon input provided from three missions;

1. An initial preparatory mission in December 2008, led by FAO to gather data and develop background material.
2. An intense REDD Scoping Mission, from 19-30 January 2009, which was multi-stakeholder and participatory. This mission served to elaborate and agreed upon, by a diversity of relevant stakeholders, a national REDD work plan for 2009-2010. It thus provided the architecture of this NJP for UN-REDD and a combined scoping/formulation/appraisal exercise for it. The REDD Scoping Mission's report is attached for complementary details and support information.
3. A final mission on 2-5 March 2009 for fine tuning and signoff by the government and the three agencies.

The nature of the second mission defined the working dynamic that is expected to prevail during the REDD preparedness process. The main participatory features of the REDD Scoping Mission were: (a) participation of 3 international NGOs that have different and complementary expertise relevant to REDD; (b) inclusion on a permanent basis of key national organisations from civil society and from indigenous peoples in the mission, plus inviting several civil society representatives from the provinces to some events; and (c) organisation of a civil society workshop, which had some 50 participants, plus some sessions on participation and consultation. As result of the mission, the following key participation elements were adopted for the NJP and for the overall REDD process: participation is an inherent principle of the REDD process; the National REDD Committee shall include a qualitative and fair civil society representation; and civil society, including organisations from forest-dependent indigenous peoples, deserve to participate in training, discussion, validation and decision-making events around REDD.

The NJP formulation has taken into account the extensive NGO experience in both forest conservation and forest assessment. Some international NGOs, such as particularly WWF and the WHRC, have done valuable assessments on the DR CONGO forests and deforestation trends,

including on REDD dimensions. They participated in the REDD Scoping Mission that led to the formulation of this NJP, contributing with qualitative inputs.

The NJP formulation has paid careful consideration to the concerns of forest-dependent peoples. Various civil society organisations that advocate and support the rights and concerns of the forest-dependent, both international (Rainforest Foundation) and national (Dynamique Autochtone, RRN and REPALÉAC), also participated in the REDD Scoping Mission that served to build the NJP. Their major issues and recommendations were: (i) need to conduct intense sensitisation and training on REDD, including to non-governmental stakeholders and also at the provincial level; (ii) ensure participatory quality of REDD oversight and decision-making mechanisms; (iii) careful consideration during REDD preparedness of land tenure issues, forest deforestation causes, and a fair distribution of eventual REDD financial benefits; and (iv) options of national NGOs to implement REDD preparedness activities. They have been incorporated in the NJP.

Given the communication difficulties and delays in DR Congo, plus the fact the NJP is to be submitted in English whereas the national language is French, this proposal is still being read by some civil society stakeholders, who may provide additional inputs that will be included in the final version. However, no major issues are likely to appear because the essence of this NJP, both in terms of contents and approach, were well discussed and agreed upon during the January 2009 multi-stakeholders REDD mission.

The vision is to continue this theme of participatory design and planning throughout the programme lifecycle. Development of the national REDD strategy will be key in this respect.

Rapid mobilisation

The national REDD office will eventually be based in a single facility, potentially within a new government forestry complex to be built in Kinshasa. This facility however is not confirmed and in any event will not be ready before end 2010. In addition the fund management facilities within the host ministry of environment are currently limited. Hence an interim solution is needed for rapid mobilisation, both for project accommodation and financial management.

The interim arrangements will be project fund management via the UNDP system and project accommodation in the existing joint UNEP-UNDP office for environment and climate change. This will allow for rapid mobilisation, with initial activities commencing within a month of fund release.

One of the Year 1 project activities will be development of the longer term solution for both project accommodation and increased levels of funds management by the government.

Identifying and managing the risks

REDD in DR Congo presents a unique situation – it is an important opportunity, however the project design needs to accommodate a range of risks. This is described in more detail in the following sections.

3.2. Lessons learned

Due to the novelty of REDD in DR Congo, there are limited lessons to be learned directly in this field. However DR has an extensive history of international investment in the sectors of forestry, conservation and governance, from which a great deal can be learned with respect to programme design. Some key lessons include:

- There is a clear need to provide logistical support and build capacity at all levels and all project locations in order to deliver projects;
- DR Congo is a relatively expensive country to operate, particularly for field projects;
- The lack of a reliable road network means that isolation is a major obstacle to implementing national scale programmes;
- It is common to encounter a strong divergence in views between Kinshasa and the provinces;

- It is common to encounter lack of trust and lack of cooperation between the government, indigenous groups and NGOs;
- Deforestation drivers are highly region specific and so management strategies must differ also;

3.3. Programme risk assessment

The key programme risks are considered below, together with initial comments on risk management options.

Stability

DR CONGO has a long history of instability and poor governance, with violent conflict persisting from 1994 until today in limited regions in the east. Political instability and enduring poor governance represents the largest risk to the project – which needs to be accepted. At the same time, assisting in the stabilization of DR CONGO is one of the primary goals of the large scale UN presence, so UN REDD should contribute to such efforts.

Land tenure and indigenous rights

As in much of Africa, the land tenure situation in DR CONGO is difficult. At the national level the structure is based upon the concept of national government ownership of virtually all agricultural and forestry land, with extensive rights ceded via a combination of traditional usage rights and more modern leases and concessions. Disputes are common due to a lack of clarity, transparency and documented titles.

A particular challenge for the application of REDD is ensuring that the rights of indigenous groups and local communities are recognized from the outset and such stakeholders are involved in all stages of project identification, design and revenue sharing.

The project has started well in this respect with the substantive participation of indigenous group representatives in the scoping and proposal development process. To summarize the input received from these groups, REDD was recognized as a positive opportunity however the risk of dispossession and inadequate benefit sharing is real and needs to be addressed via a participatory design process – which is more than just consultation.

Field security and logistics

Logistics in DR Congo are difficult and expensive and security is an issue in some parts of the country. For UN REDD at this stage the difficulties are noted but are not insurmountable and are principally seen in the project budget in travel and meeting costs.

Difficult logistics are reflected in the high cost and difficulty of lumber transport from the central regions and thus is one of the reasons for the continued existence of the forest. This situation is ironically actually favorable for the application of REDD as it assists the economics of alternative forest based livelihood options.

With respect to security, at present approximately 10% of the area of DR Congo is considered too unstable for the application of REDD projects. The areas of concern are mainly in eastern provinces of North and South Kivu and Ituri. The provinces containing the largest reserves of humid tropical forest are however relatively stable and secure.

Transparency and governance

DR Congo currently scores very badly on the Transparency International Corruption perception Index (171st out of 180 countries) and the potential for corruption is well noted. Measures to avoid corruption are embedded in the UNDP fund management system and for Phase I this is considered a routine matter given the extent of project oversight (see Section 8). More importantly, one of the major activities occurring in the next few years will be the development of the National REDD strategy. It is critical that the design of this strategy includes counter-corruption safeguards and avoids setting up structures that can be easily distorted and encourage illegitimate rent seeking.

3.4 Measures to ensure sustainability

This project needs to be considered as the first stage of a long term commitment by the UN to REDD in DR Congo. It is estimated that DR Congo will need 5 years to be substantially REDD-ready and have large scale REDD field projects in place. The best way to ensure sustainability is therefore to follow up this Phase I project with a longer term donor and UN commitment.

In this context, the following features of the QuickStart Year 1 project are designed to help ensure sustainability:

- The project office is locally based in Kinshasa and will become part of the national REDD office as it is mobilized;
- The project underpins a nationally led and owned coordination process;
- Capacity building forms a large part of the project scope;
- Continued technical assistance and accompaniment are required, including international technical support and external UN-REDD missions.
- Local NGOs and other partner will play a large role in the project.

3.5 Cross-cutting issues

The following issues are considered to be crosscutting for the project:

Poverty reduction. This is a central goal of both the government and the UN in DR Congo. Hence a central goal of the UN REDD intervention should be to help ensure that the forthcoming national REDD strategy is designed to be pro-poor.

Peacebuilding. DR Congo is a post conflict country with areas of ongoing instability. Due to the land tenure situation, any new measure which assigns or re-assigns rights for the use or management of natural resources has a potential for conflict generation. Hence the national REDD strategy will need to address this issue at the outset.

Governance and decentralization. DR Congo is at present in the process of decentralization of governance, with responsibilities being transferred from Kinshasa to the provinces. At the same time a significant investment (both nationally and internationally) is being made in improving governance in general (justice system, administration etc.) The forthcoming REDD strategy must anticipate and support these initiatives.

Gender. Gender is considered an important issue at two levels. Firstly gender balance and involvement in the this project is considered a routine requirement. Secondly the details of the forthcoming REDD strategy need to recognize the role of gender in both the deforestation drivers and in the potential alternative livelihood strategies. For example commercial charcoal production is a typically male dominated business whilst domestic fuel wood gathering is a primary responsibility for female and junior household members.

4. Results Framework

The objective of the programme is to put in place the enabling conditions for a REDD strategy. This objective is in line with the UN-REDD global objective, namely to increase international confidence and understanding about the feasibility and options for including a REDD mechanism in a post-Kyoto regime for climate change. It is also in line with UNDAF's objective for DR Congo, as follows: "natural resources are managed in a sustainable manner on the basis of legal codes.

The scope of work of the project has been divided into 3 major components, which are linked to 3 major objectives, as proposed during the REDD mission. They are as follows (see Table 1 for details):

1. Planning and Coordination
2. Capacity Building
3. Technical dimensions

Component 1. Planning and coordination (US\$ 650,000) (implementation agencies: UNDP/UNEP). The objective of this component is to prepare a Readiness Plan (R-Plan) with a participatory and multi-stakeholder approach. This component will basically consist on establishing and supporting the policy and institutional structures to advance the REDD process. This includes to establish the National REDD office, which will be the REDD "hub" that will host and manage the donor-supported projects, such as the present UN-REDD programme and the FCPF grant. In addition, the UN-REDD programme will finance the functioning of the REDD structures, notably the National REDD Committee (to be likely composed by 12 members, with a governmental and non-governmental parity) and the inter-ministerial committee. A scientific-technical advisory committee may also be established to validate studies and provide technical guidance for decision-making. In addition, this component will finance a number of meetings and activities of CSOs in order to be better prepared to participate in decision-making processes, such as the National REDD Committee meetings and the international negotiating events (2 members of the civil society will be financed to be part of the DR Congo's delegation). In addition, this component will cover the recruitment of a Chief Technical Advisor (CTA) to manage the UN-REDD programme and to provide qualitative advice to Government on the REDD process; given the institutional weaknesses in the country and the challenge of managing a US\$ 4.3 million programme as UN-REDD is, an internationally-recruited CTA (UN L4 level) plus an administrative-financial assistant (national recruitment) are deemed indispensable for a smooth and dynamic implementation of the UN-REDD NJP. Furthermore, this component may finance drafting, advice and consultation events for drafting the R-Plan to complement the planned efforts under the FCPF grant. Finally, this component will finance activities and actions around the cooperation with COMIFAC, particularly on REDD-conservation methodologies and lessons learned.

Component 2. Capacity building (US\$ 245,000) (implementation agency: UNDP). This component's objective is to inform and train key stakeholders in DR Congo in order for them to actively participate in the REDD process. This component responds to two challenges: (i) there is poor knowledge on REDD, in both the governmental and non-governmental sides; and (ii) a due technical understanding of REDD is indispensable for a meaningful process and for qualitative participation. During the REDD scoping mission, most of the stakeholders indicated that sensitisation and training, at national and provincial levels, are necessary for the REDD process to advance. In this sense, poor knowledge risks to cause confusion, unnecessary controversies and even to disrupt the process. For Year 1, the following activities and actions are envisaged: preparation of a wide range of information, education and communication materials (IEC) in order to reach a wide audience; preparation and implementation of a capacity-building plan, aimed at qualified training of representatives from key stakeholders, both governmental and from civil society (many informative and technical workshops are anticipated, both in the capital city of Kinshasa and in 4-5 provinces); technical support to REDD-related data collection partners and institutions; and specialized technical training and study tours, among others.

Component 3. Technical dimensions (US\$ 765,000) (implementation agencies: FAO/UNEP). This component aims at defining the technical foundations for REDD and initiating their development. It particularly focuses on the two technical pillars for REDD: the *Reference Scenario* and the *Monitoring, Reporting and Verification system* (also named MRV system). Above all, a number of preliminary studies and assessments are required, and this component will finance some, such as: policy review for REDD; assessment of successful forest conservation experiences and lessons learned (REDD project design models); land tenure and forests assessment; study on drivers of deforestation (to provide a more neutral and legitimated analysis of that controversial issue); and a study on revenue distribution on natural resources (to draw lessons for a potential REDD regime). Then a study on options for Reference Scenario will be conducted, in order to inform the national and regional position for this matter, which is crucial and polemic in the case of the Congo Basin (due to low deforestation record, a prospective, rather than historical trend, is favoured by the region's policymakers). Furthermore, substantive work will be financed to developing measurement protocols and sampling design for a national forest carbon survey, including preliminary implementation in one forest type. In addition, the component will serve to develop methods for Reporting and Verification at sub-national level, consistent with national reporting requirements. Finally, an first environmental and social assessment of a potential REDD regime will be conducted, in order to identify key issues.

These three components will all run in parallel and there are many linkages between them. In particular capacity building is a cross-cutting issue that is integrated into the design of nearly all activities. The activities and logistics entailed in mobilising the national REDD office and team are largely contained in the Planning and Coordination Component. Note that many of the activities noted can be considered as simply the first phase of a longer term effort. The coordination workload will continue for the very long term, although it is anticipated that international support will start to wide down once national capacity and stable funding is in place. Capacity building on REDD in general will be a long term process (some 5 years) and work in year 1 focuses on development of key and technical personnel. Much of the technical development work must be staged, with exploratory studies, methodology development and initial data collection and analysis required in Year 1 to enable planned more detailed work from Year 2 onwards.

Table 1 below comprises the Results Framework. Further details are to be found in the REDD Scoping Mission's report, which is attached to this document.

Table 1: Results Framework

UNDAF outcome: Natural resources are managed in a sustainable manner on the basis of legal codes.				
UN-REDD global outcome: Increased international confidence and understanding about the feasibility and options for including a REDD mechanism in a post-Kyoto regime.				
UN-REDD Joint Program outcome: Enabling conditions for a REDD strategy are in place.				
<i>JP Outputs</i>	Participating UN organization	Implementing Partner (tentative)	Indicative activities for each Output	Resource allocation (Y1)
1. Planning and coordination Readiness-Plan (R-Plan) is prepared with a participatory and multi-stakeholder approach	UNDP	Nat'l REDD Office World Bank CSOs	REDD coordination and management, including: • National REDD office • Support to REDD structures • UN-REDD NJP management (CTA <i>et al.</i>) • REDD decree • R-Plan drafting and advice	500,000
	UNDP	CSOs	Civil society preparedness for REDD decision-making (workshops, consultation, participation in DRC delegation)	100,000
	US\$680,000	UNEP	Nat'l REDD Office	Cooperation with COMIFAC on REDD-conservation methodologies & lessons learned
2. Capacity building Key stakeholders of the REDD process are informed and trained in order to actively participate in the process	UNDP	CSOs	IEC materials; Capacity-building plan; Publications; radio programs; communication events	70,000
	UNDP	CSOs	Workshops on REDD: IEC, training, technical discussions (national & provincial levels)	120,000
	UNDP	SPIAF	Support to REDD-related data collection partners and institutions	50,000
	US\$265,000	UNDP	SPIAF	Specialized technical training, study tours
3. Technical dimensions The technical foundations for REDD are defined and initiated	FAO	DED/DDD	Policy note and detailed policy review for REDD	50,000
	FAO	SPIAF	Development of measurement protocols and sampling design for a national forest carbon survey, and preliminary implementation in one forest type	250,000
	UNEP	CSOs	Assessment of successful forest conservation experiences and lessons learned / REDD project design models	100,000
	UNEP	GEC/CSOs	Environmental and social assessment on REDD	120,000
	FAO	SPIAF/AF	Studies: Land tenure and forests / Deforestation drivers	45,000
	UNEP	JS/CSOs	Study on revenue distribution on natural resources	50,000
	FAO	DDD	Studies on Reference Scenario options	80,000
	US\$815,000	FAO	DDD/SPIAF	Development of methods for Reporting and Verification at sub-national level, consistent with national reporting requirements
UNDP	Programme Cost			865,000
	Indirect Support Cost (7%)			60,550
FAO	Programme Cost			545,000
	Indirect Support Cost (7%)			38,150
UNEP	Programme Cost			350,000
	Indirect Support Cost (7%)			24,500
Total	Programme Cost			1,760,000
	Indirect Support Cost			123,200
	Total			1,883,200

Additional aspects

There follows some details on three core aspects of this program:

REDD principles. The REDD process, which this program will support, will be based on a number of core principles that the REDD Scoping Mission identified and agreed upon:

- There shall only be one national REDD process, to which the different technical and financial partners (such as UN-REDD and FCPF) will contribute to.
- The REDD process shall be participative and within a spirit of national concertation.
- Transparency.
- Technical quality
- Integration within the regional strategy for REDD led by the COMIFAC

The project's scope of work, as contained in the Results Framework above, was devised following these principles and with the aim at reinforcing them.

Improving capacity in monitoring and assessment (MA) through the design of a forest carbon survey to support a Reporting and Verification System (RV). The UN REDD project will work on developing a methodological approach for a national forest carbon survey. The national forest carbon survey should allow the estimation of forest carbon stock and forest carbon stock changes according to the IPCC LULUCF Guidance and the IPCC AFOLU Guidelines. In particular there will be a definition of the measurement protocols and the sampling design. During the first year there will be a testing phase on the methodological approach in on pilot forest type. Regarding a MARV system in DRC, the UN-REDD Programme will evaluate options that comply with the guidance already provided under the UNFCCC for non Annex I and Annex I Parties and will define a methodological approach to be implemented in DRC. The design of the MARV system should consider REDD implementation at sub national scale, providing consistency between the UNFCCC reporting requirements and in country reporting requirements. To emphasize possible synergy all the activities related to MARV in DRC will be coordinated from a technical point of view with the Central Africa Forest Observatory (FORAF) which is already coordinating technical cooperation in the region and in DRC.

Providing options on reference emissions level (REL) and reference scenario. The project will review the methodologies for establishing REL and reference scenario and it will identify all the options that could be technically implemented in DRC. The project will also provide a pros and cons analysis of the possible options to support future DRC Authorities decision.

5. Management and Coordination Arrangements

5.1 Global UN REDD Structure and procedures

This section elaborates the programme planning and management responsibilities and commitments of partners and participating UN organizations. This joint programme document does not substitute for the arrangements set out in the UN-REDD MOU and its annexes (available at www.undp.org/mdtf/UN-REDD/overview.shtml). The management aspects of the pass-through modality are detailed under section 7.

Policy Board

The UN-REDD Policy Board provides overall leadership and sets the strategic direction of the UN-REDD Programme. It decides on Programme financial allocations, in line with the budget parameters set out in the UN-REDD Framework Document, and develops monitoring mechanisms, with a view to

ensuring Fund-wide success. The UN-REDD Policy Body will ensure coordination with REDD actors at a global scale, such as the World Bank's FCPF participants' committee. The Terms of Reference and Rules of Procedure for the UN-REDD Policy Board will be made available on the UN-REDD Programme website www.un-redd.net

Technical Secretariat

The UN-REDD Technical Secretariat serves the Policy Board, using the capacities of the participating UN organizations, research institutions and recognized experts. It ensures policies and strategies decided by the Policy Board are implemented and adhered to. The Secretariat will manage the national joint programme review process. It will also manage the UN-REDD's overall monitoring and evaluation function which includes *inter alia* monitoring allocations to and delivery by the country joint programmes, and tracking Programme-wide progress and ensuring that monitoring mechanisms are applied.

The Secretariat's main roles can be summarised as follows:

- Policy Board support
- Partner and external relations
- Quality assurance and oversight of national joint programmes
- Quality assurance and oversight of the International Support Functions described in the Global Joint Programme (hereafter referred to as the "Global Joint Programme")
- Monitoring and knowledge management

Participating UN Organizations' Coordination Group

The Participating UN Organizations' Coordination Group consists of representatives of the three UN agencies: FAO, UNDP, and UNEP. The Coordination Group will have the main function in ensuring active, participatory and well-coordinated engagement by the agencies to implement the goals and objectives of the overall UN-REDD Programme, as well as to provide oversight of the Secretariat consistent with the strategic directions and decisions provided by the Policy Board.

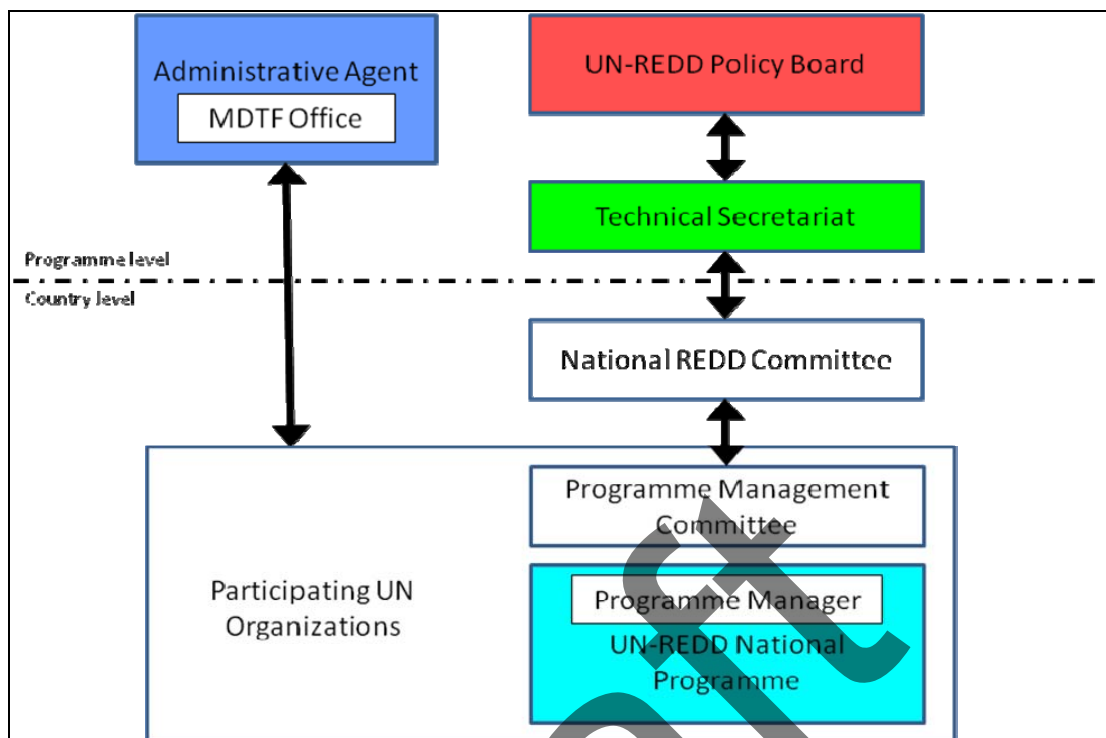
Administrative Agent

The UNDP Multi-Donor Trust Fund (MDTF) Office is the Administrative Agent of the UN-REDD Fund. The MDTF Office manages the distribution of resources and serves as the administrative interface with donors. UNDP's accountability as the Administrative Agent is set out in the policy "UNDP's Accountability when acting as Administrative Agent in MDTFs and/or UN Joint Programmes using the pass-through fund management modality". The MDTF Office as AA will be responsible for:

- Receipt, administration and management of contributions from donors;
- Disbursement of funds to the Participating UN Organization, in accordance with the instructions of the UN-REDD Policy Board;
- Provide support to FAO, UNDP and UNEP in their reporting functions;
- Compilation of consolidated narrative and financial reports to the Policy Board through the Technical Secretariat, national steering committees and to donors.

The Administrative Agent may undertake additional functions at the request of the Participating UN Organizations. The Administrative Agent will charge a one time fee of 1 per cent for fund administration and fiduciary responsibilities which will be provided in advance on the basis of Programme Documents budgets approved by the Policy Board.

Figure 1: UN-REDD Generic National Management Arrangements



5.2 National level UN REDD Structure and procedures

Introduction

The planned national structures follow the generic international model with some minor differences and details due to the preferred approach of the government of DR Congo to REDD readiness. In fact, the proposed national management arrangements concur with the spirit of a national appropriation of the projects and the REDD process.

DR Congo government coordination - National REDD Committee

UN REDD will participate as key members in the government-led coordination structures and processes which are currently under development. The proposed arrangements, which were developed during the REDD Scoping Mission, are in essence as follows:

- The leading coordinating body will be a **National Committee** which will be composed of representatives of all major REDD constituencies, both governmental and non-governmental (in particular, Government, civil society, private sector and forest-related scientific expertise). This body will meet regularly (probably each quarter) and provide the link with a number of satellite bodies. The planned UN REDD implementation team will link into this level and also work with the REDD coordination team in co-located offices.
- Senior level government oversight will be provided by an **Inter-Ministerial Committee** led by the MENCT with representatives from 6 other ministries. The planned UN REDD Programme Management Committee will link into this level.
- Day to day management of REDD activities will be organized via a National REDD office with a small **National REDD coordination team** from MENCT – assisted by the UN REDD project team.
- A number of **technical task** teams and working groups will develop and disband as appropriate.

Joint National and UN REDD office

A national REDD office will be established with support from the UN-REDD joint program, and will start with the initial assistance of the UNEP-UNDP joint office for environment and climate change. It is anticipated that the national office will have a long term staffing of five with up to three visiting professionals (see below).

The office will have independent field visit capability. DR Congo is in security Phase II – III, so compliance of the UN REDD team with MOSS entails the purchase and operation of a UN MOSS compliant vehicle (others will be rented), communication and safety equipment.

National REDD coordination team

The National REDD coordination team is responsible for detailed management and implementation of the plans developed and agreed by the National Committee. It has the following core staff:

- REDD National Coordinator – This person will lead the coordination team and is the government focal point for REDD on a day to day basis. The Terms of Reference are presented as an Appendix. This post is being currently recruited and thus will be likely on board at the start of this NJP.
- Consultant/project officer for Information, Education and communication;
- UN REDD Chief Technical Advisor (see below);
- Administrative and logistical support (2 national short term appointments);

In addition the core team will host a number of consultants appointed for short to medium term technical tasks.

The UN REDD team for DR Congo

Oversight of UN REDD in DR Congo will be conducted by a Programme Management Committee. This committee will consist of the national heads of agency/country directors for UNEP, UNDP and FAO and the Resident Coordinator. In addition to providing oversight to the UN REDD programme, this committee will ensure integration under the UNDAF thematic structures in place, whole-of-government responses and integration of REDD into national development planning processes.

The UN REDD implementation team in DR CONGO will be headed by a Chief Technical Advisor (CTA) based in Kinshasa. This person will be an internationally recruited professional. They will be employed under a UNDP contract for HR management but report on performance to the Programme Management Committee. They will be considered a core part of the National REDD Coordination Team as detailed above. The CTA will be empowered to effectively coordinate the joint programme and to ensure that the activities led by the different UN agencies are synchronised, that implementation is smooth, and that the UN-REDD programme truly contributes to, and builds the national REDD process.

The detailed TOR for the CTA is to be jointly developed but has three principal duties:

1. Provision of technical assistance - hence this is a technically oriented appointment.
2. Project management of the UN REDD DR CONGO scope and budget;
3. Assisting the government in coordination of the national REDD programme via membership of the coordination team;

The other permanent UN REDD DR Congo staff member will be a UNDP appointed senior administrative officer. This national appointment will be report to the CTA and is responsible for financial management and administration of the UN REDD project.

At the national level, staff from all three UN agency country offices will be involved. The three UN agencies will also provide part time input from technical staff in their respective national, regional and global offices (UNDP-Dakar, FAO-Libreville, UNEP-Nairobi). It is assumed that some additional

support will be provided from the UN REDD global secretariat however this is excluded from the project scope and budget.

The UN-REDD Programme will be supported by UN Resident Coordinator in his strategic leadership of the UN Country Team and relationships with national authorities. The UN Resident Coordinator (or his designate) will provide ongoing oversight to the joint programme at the national level, ensuring the participating UN organizations are meeting their obligations. The Resident Coordinator is entrusted with supporting the overall programme design under the government's leadership, ongoing programmatic oversight of the UN-REDD activities and UN coordination with the National REDD Office where such exist. The Resident Coordinator also facilitates ongoing monitoring and evaluation of UN-REDD activities in conformity with UN standards. On receipt of consolidated country level reports, the Resident Coordinator will provide an overall assessment of the programme's progress and results. He/she will also facilitate ongoing monitoring and evaluation of Fund-supported activities in conformity with UN standards and any guidance provided by the UN-REDD Technical Secretariat or Policy Board.

6. Fund Management Arrangements

6.1 Pass Through model

The UN-REDD Collaborative Programme utilizes the 'pass-through' modality for fund management. Participating UN organizations, in this case FAO, UNDP and UNEP, assume full programmatic and financial accountability for the funds received from the Administrative Agent.

Each Participating UN Organization shall decide on the execution process with its partners and counterparts following the organization's own regulation and rules. National governments, Regional Development Banks and NGOs can receive funding through a Participating UN Organization and act as executing agencies. Participating UN Organizations shall be entitled to deduct their indirect costs on contributions received according to their own regulations and rules, taking into account the size and complexity of the particular programme. Any indirect costs will be reflected in the Joint Programme submitted to the Technical Secretariat. Indirect costs will not exceed 7 per cent of the project budget. These costs cover general oversight, management, and quality control, in accordance with its financial regulations and rules. Specialized service delivery costs for programme and project implementation may be recovered directly, in accordance with the respective Participating UN Organizations' policies.

Each Participating UN Organization will use the funds disbursed to it by the Administrative Agent from the UN-REDD Programme MDTF to carry out the activities for which it is responsible as set out in this document as well as for its indirect costs. The Participating UN Organizations will commence and continue to conduct operations for the UN-REDD Programme as set out in the UN-REDD MOU or as instructed by the UN-REDD Policy Board. The Participating UN Organizations will not make any commitments above the approved budgets, as amended from time to time by the Policy Board. If there is a need to exceed the budgeted amounts, the Participating UN Organization concerned will submit a supplementary budget request to the UN-REDD Policy Board, through the Technical Secretariat.

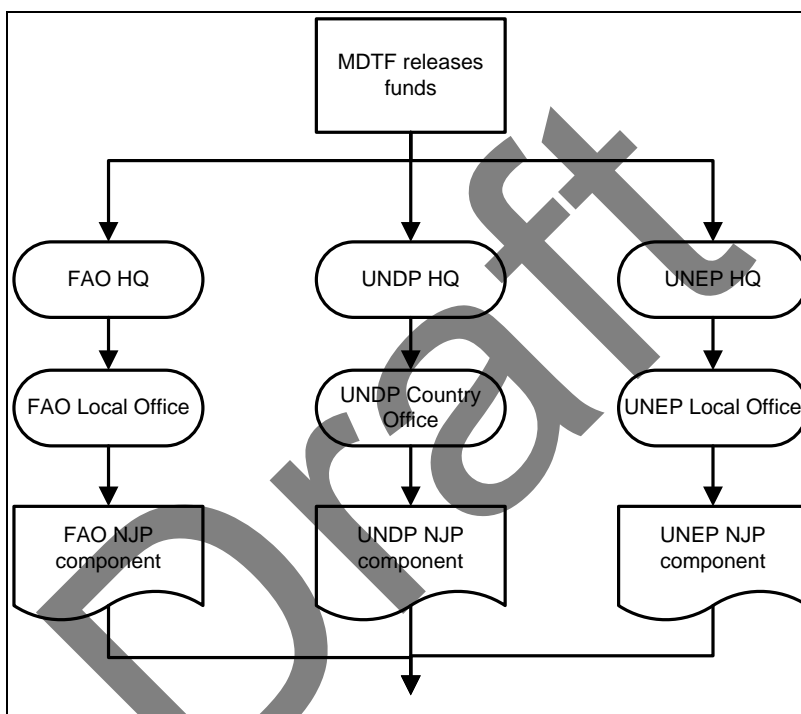
The Administrative Agent will ensure consistency of the approved Joint Programme with the applicable provisions of the Standard Administrative Arrangements (SAA) entered between donors and the Administrative Agent, and the MOU between the Participating UN Organizations and the Administrative Agent.

Funds will be released in accordance with the UN-REDD Programme Rules of Procedure. These procedures require the Technical Secretariat to submit the following to the Administrative Agent:

- Copy of the signed NJP document with the approved budget
- Submission Form, signed by the Chair of the Policy Board.

Upon receipt of the necessary documentation, the Administrative Agent shall release funds to the Participating UN Organizations as set out in Section II of the Memorandum of Understanding for the Multi-Donor Trust Fund (available at www.undp.org/mdtf/UN-REDD/overview.shtml). The Administrative Agent shall notify the Participating UN Organizations and the UN Resident Coordinator when the funds have been transferred. Each Participating UN Organization shall establish a separate ledger account for the receipt and administration of the funds disbursed to it by the Administrative Agent.

Figure 2: Flow of Funds for National Joint Programmes



The specific cash transfer modalities for the Participating UN Organizations are:

- **FAO:** the FAO local office will transfer funds to the relevant national partners on a reimbursement basis. Funds will be managed according to FAO financial rules and regulations
- **UNDP:** funds will be transferred from UNDP/BDP/EEG to the UNDP Country Office. Fund utilization will be according to the UN Harmonized Approach to Cash Transfers. The payment will take the form of "direct cash transfer", "direct payment" or "reimbursement". Funds will be managed in accordance with UNDP financial rules and regulations
- **UNEP:** the UNEP DEPI Nairobi Office shall manage its programme funds in accordance with UNEP's financial rules and regulations. Accountable advances will be transferred to the selected partners in this Joint Programme, following the designated modalities outlined in the agreements and/or subcontracts with UNEP.

7. Monitoring, Evaluation and Reporting

7.1 MER Structure

The project has three levels of oversight and monitoring.

1. At the global level, DR Congo is one of nine countries selected as UN REDD pilots. All pilot projects will be overseen by the UN REDD global team headed by the Technical Secretariat. The Technical Secretariat has the responsibility for UN REDD coordination and the development and provision of standards, guidance and tools. As such it is expected to be in regular contact with the DR Congo UN REDD team.
2. At the national level, the UN REDD project is part of and supports the National REDD office and the development of the national REDD strategy. As such it will be under constant monitoring by both the government and a range of other stakeholders.
3. At the UN Country Team level, as set out in Section 6, the project Chief Technical Advisor reports on performance to the four person UN REDD Programme Management Committee, consisting of the national heads of agency/country directors for UNEP, UNDP and FAO and the Resident Coordinator.

7.2 Evaluation and reporting

The project will deliver formal progress reports at months 6 and an interim completion report at month 12. A final financial closure report will be delivered on month 16 or earlier.

The project scope and budget includes for an external evaluation to be conducted at month 12 by an independent consultant/organisation.

Table 2: Joint Programme Monitoring Framework (JPMF) – pending finalisation

<i>Expected Results (Outcomes & outputs)</i>	<i>Indicators (with baselines & indicative timeframe)</i>	<i>Means of verification</i>	<i>Collection methods (with indicative time frame & frequency)</i>	<i>Responsibilities</i>	<i>Risks & assumptions</i>
NJP outcome. Enabling conditions for a REDD strategy are in place.	National REDD Committee meets quarterly and keeps a multi-stakeholder and participatory dynamic	National REDD Committee reports; surveys to committee members		UNDP	The National REDD Committee is established with equality in governmental and non-governmental members
Output 1. Readiness-Plan (R-Plan) is prepared with a participatory and multi-stakeholder approach	R-Plan is validated by the National REDD Committee	FCPF Board approves R-Plan			National REDD office is established soon, and FCPF and UN-REDD funds arrive without much delays

Output 2. Key stakeholders of the REDD process are informed and trained in order to actively participate in the process	30 governmental and non-governmental stakeholders are well trained on REDD	Training reports; surveys; publications on REDD by national stakeholders			Quality trainers are available and engaged
Output 3. The technical foundations for REDD are defined and initiated	Drivers of deforestation are well identified and agreed by both governmental and non-governmental	Technical reports; approval of technical reports by National REDD Committee			ToR for studies are well prepared and stakeholders have trust in the independence and quality of the research team

At the Global level the UN REDD Technical Secretariat will establish an Evaluation Plan which ensures that all programmes supported by the UN-REDD Programme will undertake a final evaluation, which will assess the relevance and effectiveness of the intervention, and measure the development impact of the results achieved, on the basis of the initial analysis and indicators described at the time of programme formulation. Furthermore, the Technical Secretariat will lead thematic reviews for all programmes.

At the national level, the Participating UN Organizations are required to provide narrative reports on results achieved, lessons learned and the contributions made to the Joint Programme. The information shall be consolidated by the Programme Manager into a narrative report every 6 months. The Technical Secretariat shall provide the Policy Board updates on the implementation progress of the Joint Programme every 6 months, based on information received from the Programme Manager. The UN Resident Coordinator will assist in ensuring the Participating UN Organizations at the country level provide the necessary information. The UN-REDD Coordination Group shall also follow-up with the relevant officers and representatives of the Participating UN Organizations.

The Administrative Agent will provide regular updates on the financial status of the MDTF to the Policy Board, for review and action as appropriate.

Participating UN Organizations in receipt of UN-REDD resources will be required to provide the Administrative Agent with the following statements and reports:

- Narrative progress reports for each twelve-month period ending 31 December, to be provided no later than two months after the end of the applicable reporting period;
- Annual financial reports as of 31 December each year with respect to the funds disbursed to it from the Joint Programme Account, to be provided no later than three months after the end of the applicable reporting period;
- A final narrative report and financial report, after the completion of all Joint Programme activities financed from the UN-REDD MDTF, to be provided no later than 30 April of the year following the financial closing of Joint Programme activities;

- A final certified financial statement, to be provided no later than 30 June of the year following the financial closing of Project activities.

The Administrative Agent shall prepare consolidated narrative progress and financial reports consisting of the reports referred to above submitted by each Participating UN Organization, and shall provide those consolidated reports to the respective Resident Coordinators and subsequently to the UN-REDD Policy Board through the Technical Secretariat.

Subsequently, in accordance with the MOU and the SAA, the Administrative Agent will submit consolidated narrative and financial reports to all UN-REDD Programme donors. Agreed standard UNDG financial and progress reporting formats will be utilised. The Administrative Agent will also submit to donors a certified annual financial statement (Source and Use of Funds).

Information given to the press, to the beneficiaries of the UN-REDD Programme, all related publicity material, official notices, reports and publications, shall acknowledge the role of the UN-REDD donors, the UN Agencies, and any other relevant parties.

Whenever possible and to the extent that it does not jeopardize the privileges and immunities of UN Agencies, and the safety and security of their staff, UN Agencies will promote donor visibility on information, project materials and at project sites, in accordance with their respective regulations, rules, policies and procedures.

8. Legal Context or Basis of Relationship

8.1 Global Level context

The Participating UN Organizations (FAO, UNDP and UNEP) have signed a Memorandum of Understanding (MOU) to implement the UN-REDD Collaborative Programme, which came into effect on 20th June 2008 and ends 20th June 2012.

This Joint Programme document is consistent with the cooperation/assistance agreements signed by the lead UN agencies involved in this programme with the Government of DR Congo. For the UNDP, this Document is pursuant to the Country Programme Action Plan and the Standard Basic Assistance Agreement (SBAA) it signed with the Government of the DR Congo. All provisions in the SBAA therefore apply to this document. Consistent with Article III of the SBAA, the responsibility for the safety and security of the implementing partner and its personnel and property, and of UNDP's property in the implementing partner's custody, rests with the implementing partner.

The implementing partner shall:

- put in place an appropriate security plan and maintain the security plan, taking into account the security situation in the country where the project is being carried; and
- assume all risks and liabilities related to the implementing partners security, and the full implementation of the security plan.

The **UNDP** reserves the right to verify whether such a plan is in place, and to suggest modifications to the plan when necessary. Failure to maintain and implement an appropriate security plan as required hereunder shall be deemed a breach of this agreement.

On the part of the **FAO**, this document is consistent with the basic agreement with the Government of DR Congo [as indicated in the exchange of letters between the Government and FAO on -date-]. The FAO Representative shall represent the Organization in the DR Congo and shall be responsible within the limits of the authority delegated to him/her, for all aspects of the Organization's activities in the country. In the effective performance of his/her functions, the FAO representative shall have access to appropriate policy and planning levels of Government in the agriculture, fishery and forestry sectors of the economy, as well as to central planning authorities. He/she shall maintain close liaison with the Government's coordinating agency for external assistance and thereby serve

to keep all the appropriate Government agencies fully informed on all aspects of the policies and procedures of FAO's programme in the country.

For **UNEP**, this document is consistent with the basic agreement the Government of DR Congo as indicated in the exchange of letters between the government and UNEP on 3rd July 2008.

The Participating UN Organizations agree to undertake all reasonable efforts to ensure that none of the funds received pursuant to UN-REDD are used to provide support to individuals or entities associated with terrorism and that the recipients of any amounts provided by Participating UN Organizations do not appear on the list maintained by the Security Council Committee established pursuant to resolution 1267 (1999). The list can be accessed via <http://www.un.org/Docs/sc/committees/1267/1267ListEng.htm>. This provision must be included in all sub-contracts or sub-agreements entered into under this programme document.

9. Work plans and budgets

The Policy Board may approve national Joint Programmes with budgets that identify the allocation of the programme and indirect costs to each Participating UN Organization. However, before funds may be released each Joint Programme must include a budget using the 2006 UNDG harmonized budget categories for each Participating UN Organization's portion of the programme.

The work plan and budget of this Joint Programme have been developed jointly by the three Participating UN Organizations and the Government of DR Congo. The work plan details the expected outcomes, outputs and activities to be carried out within the programme, the implementing partners, timeframes and planned inputs from the Participating UN Organizations. An annual work plan and budget will be produced each year for each Participating UN Organization, subsequent to the decisions of the annual/regular reviews. Each work plan will be approved by the UN-REDD Technical Secretariat.

APPENDIX A

NOTE: COMPLETION OF THE WORK PLAN IS POSTPONED FOR AFTER THE UN-REDD POLICY BOARD DECISION AND RECOMMENDATIONS

Work Plan for UN REDD DR Congo Quick Start Programme – Year 1 Period (tentative): 1 Jun 2009 – 30 May 2010

JP Outcome										
UN organization-specific Annual targets	UN organization	Activities	TIME FRAME				Implementing Partner	PLANNED BUDGET		
				Q2	Q3	Q4		Source of Funds	Budget Description	Amount
JP Output 1:										
(of UN organization 1)										
(of UN organization 2)										
(of UN organization 3)										
JP Output 2:										
(of UN organization 1)										
(of UN organization 2)										
Total Planned Budget										
Including *	Total UN organization 1									
	Total UN organization 2									
	Total UN organization 3									

* The Total Planned Budget by UN Organization should include both programme cost and indirect support cost

Signatures:

UN organization(s)	Implementing Partner(s)
<i>Replace with:</i> <i>Name of Representative</i> <i>Signature</i> <i>Name of Organization</i> <i>Date</i>	<i>Replace with:</i> <i>Name of Head of Partner</i> <i>Signature</i> <i>Name of Institution</i> <i>Date</i>

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APPENDIX B

Terms of reference for the DR Congo government appointed National REDD Coordinator (French version only).

Termes de Référence du Coordonnateur National REDD

Dans le cadre du processus national REDD en RDC (y compris les programmes UN-REDD et FCPF), un Coordonnateur National/REDD sera recruté pour la gestion quotidienne de la Coordination Nationale (unité chargée du processus REDD) et des projets et initiatives qui le sont assignés. Il sera placé sous la supervision directe du Ministre de l'Environnement, Conservation de la Nature et Tourisme (MECNT) et du Secrétaire Général à l'Environnement et Conservation de la Nature. Le Directeur du Développement Durable est le Point Focal/REDD.

Le Coordonnateur National REDD sera assisté par un conseiller technique principal (chargée de la partie UN-REDD) et un conseiller en information, éducation et communication (IEC), tous deux recrutés de commun accord entre UN-REDD et MECNT, ainsi que d'autres consultants et d'assistants administrative-financiers selon besoins.

Tâches:

Sous la supervision technique de la Direction du Développement Durable, le Coordonnateur National/REDD aura pour tâches de:

- Préparer et exécuter le Plan Annuel de travail du processus REDD en RDC, des rapports périodiques (techniques et financiers) dans un format qui est en adéquation avec les procédures en matière d'élaboration des rapports, la budgétisation, les procédures de suivi-évaluation du Gouvernement et les Directives de la Banque Mondiale et du PNUD ainsi que sur la base du document de projet et en collaboration étroite avec le Comité national et le Comité interministériel ;
- Assurer la gestion journalière de la Coordination nationale REDD et suivre les activités prévues dans le Plan de travail annuel afin qu'elles aboutissent aux résultats attendus ;
- Organiser des ateliers d'information et de discussion du processus REDD en RDC en vue de présenter et de revoir le Plan de Travail et l'arrangement institutionnel de mise en œuvre du processus ;
- Coordonner l'élaboration des termes de référence de différentes parties contractantes ou consultants dans le cadre des projets REDD ;
- Fournir l'assistance et l'encadrement nécessaires aux consultants et parties contractantes au projet chargés de l'élaboration du R-PLAN et des études thématiques REDD ;
- Fournir la fonction de Secrétariat du Comité National REDD et du Comité Interministériel REDD ;
- Préparer des notes techniques pour informer le Gouvernement, le Comité National, le Comité interministériel, la société civile et d'autres partenaires au développement sur le déroulement du processus REDD ;
- Assurer la revue des documents produits par les consultants et s'assurer de leur diffusion aux différents membres du Comité national et du Comité interministériel ;
- Assurer la coordination et la synergie des activités REDD en RDC avec les autres initiatives gouvernementales et des bailleurs dans le domaine forestier, y compris les liens avec le PNFoCo, le groupe thématique des forêts ainsi que le processus régional REDD de la COMIFAC ;

- Travailler avec les consultants à faire clairement la distinction entre les données de référence et les autres stratégies, politiques et mesures en rapport avec le REDD ;
- Inciter et assurer d'une démarche participative du processus REDD par l'implication et la consultation de différentes parties prenantes, notamment les communautés forestières et les peuples autochtones dans un esprit de coopération et de dialogue.

Qualifications :

- Être de nationalité Congolaise ;
- Niveau universitaire dans un des domaines pertinents aux objectifs du projet ;
- Au moins 10 années d'expérience opérative dans le domaine de l'environnement et/ou développement durable ainsi que dans la gestion des projets ;
- Avoir une bonne connaissance du processus REDD ;
- Avoir une bonne connaissance des institutions et acteurs locaux impliqués dans le processus REDD;
- Avoir une bonne capacité de pensée stratégique et de planification ;
- Parfaite maîtrise du français ;
- Bonne capacité de rédaction et de communication ;
- Bonne maîtrise de l'outil informatique ;
- Avoir la capacité de superviser et de motiver une équipe de consultants (internationaux et locaux) pour accomplir les tâches définies;
- Avoir des connaissances des procédures de la BM et du PNUD pour la mise en œuvre des projets, y compris l'acquisition des matériels, décaissements, reportage et suivi.

Durée de mission

Le Coordinateur National REDD sera engagé pour la durée des projets REDD.