



PROJECT IDENTIFICATION FORM (PIF)
PROJECT TYPE: FULL-SIZED PROJECT
TYPE OF TRUST FUND: GEF TRUST FUND

PART I: PROJECT IDENTIFICATION

Project Title:	Community-Based Miombo Forest Management in SE Katanga		
Country(ies):	DRC	GEF Project ID:¹	
GEF Agency(ies):	FAO	GEF Agency Project ID:	GEF/DRC/046/GFF
Other Executing Partner(s):	Ministry of Environment, Nature Conservation and Tourism	Submission Date:	August 13, 2013
GEF Focal Area (s):	Multi-focal Area	Project Duration (months):	60 months
Name of parent program (if applicable):		Agency Fee (\$):	430,667
<ul style="list-style-type: none"> • For SFM/REDD+ <input type="checkbox"/> • For SGP <input type="checkbox"/> • For PPP <input type="checkbox"/> 			

A. FOCAL AREA STRATEGY FRAMEWORK²:

Focal Area Objectives	Trust Fund	Indicative Grant Amount (\$)	Indicative Co-Financing (\$)
SFM- 1 Reduce pressures on forest resources and generate sustainable flows of forest ecosystem services	GEFTF	700,000	1,000,000
SFM-2 Strengthen the enabling environment to reduce GHG emissions from deforestation and forest degradation and enhance carbon sinks from LULUCF activities.	GEFTF	433,333	1,400,000
CCM-5 Promote conservation and enhancement of carbon stocks through sustainable management of land use, land-use change and forestry	GEFTF	2,700,000	6,000,000
LD-2 Generate sustainable flows of forest ecosystem services in arid, semi-arid and sub-humid zones, including sustaining livelihoods of forest-dependent people	GEFTF	700,000	1,600,000
Total Project Funding		4,533,333	10,000,000

B. PROJECT FRAMEWORK

Project Objective: To promote sustainable management and restoration of miombo forest ecosystems in order to reduce deforestation and forest degradation, contribute to climate change mitigation and improve community livelihoods through the development of community-based forest management systems.

Project Component	Grant Type ³	Expected Outcomes	Expected Outputs	Trust Fund	Indicative Grant Amount (\$)	Indicative Co-financing (\$)
Component 1. Development of sustainable community-based forest management systems	TA	1.1 Miombo forests restored and managed sustainably by empowered communities. - 80,000 ha under sustainable management of which leading to forest cover increase of about 10%	1.1.1 Community management units with contractual rights established. 1.1.2 Participatory land use planning for community lands conducted and simple forest management plans developed and	GEF TF	3,306,666	7,000,000

¹ Project ID number will be assigned by GEFSEC.

² Refer to the reference attached on the Focal Area Results Framework and LDCF/SCCF Framework when completing table A.

³ TA includes capacity building and research and development.

		<p>- 418,380 tCO₂e_q sequestered and avoided emissions of 1,394,600 tCO₂e_q</p> <p>- at least 1500 people benefiting from income generating activities,</p>	<p>implemented:</p> <ul style="list-style-type: none"> - silvicultural systems for harvest & regeneration, and fire management techniques developed, tested and integrated into the management of community lands. - small scale enterprises setup for production and processing of wood and non-timbre forest products. - community-level forest management funds piloted with a portion of revenues from the sale of wood and non-wood forest products reinvested in the funds. - participatory annual reviews in pilot communities conducted and management plans modified as necessary. 			
		<p>1.2 Strengthened institutional and community capacities to implement and scale-up sustainable community-based forest management</p>	<p>1.2.1 A capacity development plan for community-based SFM and REDD+ developed and implemented.</p> <p>1.2.2 At least 110 community managers and 10 community support institutions (government, NGOs, civil society) trained in participatory resource management, forest restoration and carbon measurement and monitoring, governance and business management.</p> <p>1.2.3 A provincial strategy for sustaining, replicating and adapting CBNRM throughout the province developed.</p>			
Component 2. Strengthening the legal framework	TA	<p>2.1 The legal framework provides a clear, straightforward process for empowering communities for forest/natural resource management.</p>	<p>2.1.1 Conditions and the administrative process for the interim empowerment of pilot communities by ministerial decrees defined and ministerial decrees established for each new pilot community.</p>		200,000	1,000,000

			<p>2.1.2 Participatory identification of the barriers to community-based forest management in the existing policy, legal and regulatory frameworks completed.</p> <p>2.1.3 Revised legal texts based on best practices/lessons learned prepared and adoption process supported.</p>			
Component 3. Knowledge management, dissemination and monitoring and evaluation	TA	3.1 Knowledge management and M&E facilitate replication of best practices and incorporation of lessons learned in future initiatives.	<p>3.1.1 A network for practitioners and researchers concerned with participatory dryland forest management is established.</p> <p>3.1.2 Lessons learned and best practices are periodically collected, synthesized and disseminated</p> <p>3.1.3. Curricula developed for SFM and REDD+ at Lubumbashi University and technical schools</p> <p>3.2.1 Project M&E system established and mid-term and final evaluations conducted.</p>		800,000	1,500,000
Sub-Total					4,306,666	9,500,000
Project management Cost (PMC) ⁴					226,667	500,000
Total project costs⁴					4,533,333	10,000,000

C. INDICATIVE CO-FINANCING FOR THE PROJECT BY SOURCE AND BY NAME IF AVAILABLE, (\$)

Sources of Co-financing	Name of Co-financier	Type of Co-financing	Amount (\$)
National Government	Government of the DRC	In-kind	1,600,000
GEF Agency	FAO	Grant	300,000
GEF Agency	FAO	In kind	1,000,000

⁴ To be calculated as percent of subtotal

Academic/Research Institution	University of Lubumbashi	In-kind	1,000,000
NGO	OSFAC	Grant	1,200,000
NGO	PREMICONGO	Grant	607,000
Communities	Pilot communities	In-kind	300,000
Bilateral Aid Agency(ies)	GIZ PBF	Grant	893,000
Mining company	African Minerals	Grant	3,100,000
Total Co-financing			10,000,000

D. INDICATIVE TRUST FUND RESOURCES REQUESTED BY AGENCY, FOCAL AREA(S) AND COUNTRY¹

GEF Agency	Type of Trust Funds	Focal Area	Country Name/ Global	Grant Amount (\$) (a)	Agency Fee (\$) (b) ²	Total (\$) c=a+b
FAO	GEFTF	Land Degradation	Democratic Republic of the Congo	700,000	66,500	766,500
FAO	GEFTF	Climate Change	Democratic Republic of the Congo	2,700,000	256,500	2,956,500
FAO	GEFTF	SFM/REDD+	Democratic Republic of the Congo	1,133,333	107,667	1,241,000
Total Grant Resources				4,533,333	430,667	4,964,000

¹ In case of a single focal area, single country, single GEF Agency project, and single trust fund project, no need to provide information for this table. PMC amount from Table B should be included proportionately to the focal area amount in this table

² Indicate fees related to this project.

E. PROJECT PREPARATION GRANT (PPG)⁵

Please check on the appropriate box for PPG as needed for the project according to the GEF Project Grant:

	<u>Amount Requested (\$)</u>	<u>Agency Fee for PPG (\$) ⁶</u>
• (Upto) \$150k for projects up to & including \$ 6 million	\$150,000	14,250

PPG AMOUNT REQUESTED BY AGENCY (IES), FOCAL AREA(S) AND COUNTRY(IES) FOR MFA AND/OR MTF PROJECT ONLY

Type of Trust Funds	GEF Agency	Focal Area	Country Name/ Global	PPG (\$) (a)	Agency Fee (\$) (b)	Total (\$) c=a+b
GEFTF	FAO	SFM	Democratic Republic of the Congo	37,500	3563	41,063
GEFTF	FAO	CCM	Democratic Republic of the Congo	89,338	8487	97,825
GEFTF	FAO	LD	Democratic Republic of the Congo	23,162	2200	25,362
Total Grant Resources				150,000	14,250	164,250

⁵ On exceptional basis, PPG amount may differ upon detailed discussion and justification with the GEFSEC.

⁶ PPG fee percentage follows the percentage of the GEF Project Grant amount requested.

PART II: PROJECT JUSTIFICATION⁷

A. PROJECT OVERVIEW

Global environmental problems, root causes and barriers that need to be addressed

Forests of the DRC cover 60 percent of the country's territory and act as one of the largest carbon sinks in the world. With more than 150 million hectares of natural forests, DRC has the sixth largest forest area in the world (FAO 2010; FAO 2011b). It represents about a quarter of all forests in Africa and 56 per cent of the forests of the Congo Basin. Forest types in DRC are as follows: i) the moist evergreen and semi-deciduous forests that cover 41 percent of the territory ii) the dry forests of southeast or "miombo" occupying 19 percent of the territory and, iii) swamp forests (4 percent). These different forest ecosystems provide a variety of habitats and are home to a great diversity of biological resources.

Although most of DRC's investment in forest management has been in the humid forests, the miombo forests also provide important ecosystem services that should be maintained. The miombo forests around Lubumbashi in the Katanga Province feed into the Lufira River, one of the major streams forming the headwaters of the Congo River. The miombo forests support some of the richest diversity of mushrooms of any forest ecosystem and are one of the most important for honey production. Miombo forests are very important to the economy and the livelihoods of the people within the wood fuels supply zone of Lubumbashi. Timber and non-timber forest products (NTPF) are a major source of revenue for local communities. NTFP include a diverse array of products including fruits, honey, traditional medicines, mushrooms, edible insects (especially the caterpillars of wild silk moths), edible plants and materials for basket weaving. The miombo forest ecosystems provide a habitat for about 190 species of mammals - plains zebra, endemic Upemba lechwem, blue monkey etc.

Although the overall deforestation rates for DRC remains relatively low, this is not the case for the semi-arid to sub-humid miombo woodlands of Katanga Province. The soon to be published new map of DRC forest cover done by MNCET, USAID, WRI, CARPE, ESRI and ERDAS shows the miombo to be highly fragmented nearly everywhere. Deforestation and forest degradation are especially severe around Lubumbashi (population five million) and other urban centers where the rapidly growing urban demand for charcoal and firewood exceeds the effects of the expansion of low productivity, rainfed agriculture as the main causes of land degradation. Destructive mid to late dry season fires and continued overcutting prevent the miombo from re-establishing itself on the cutover lands. This all results in severely degraded forests, much reduced forest ecosystem services and large net emissions of carbon to the atmosphere.

The direct causes of land degradation and their root causes or drivers are presented in the table below:

Direct cause of land/forest degradation	Root cause/drivers
Highly unsustainable rate of overcutting of miombo forests for charcoal and fuelwood for urban markets	<ul style="list-style-type: none"> • Demographic growth • Rapidly growing demand from relatively wealthy urban centers • Improved quality and expansion of road network giving improved access • Very low or no costs to access the forest resource
Clearing for agriculture	<ul style="list-style-type: none"> • Demographic growth • Returns for charcoal making subsidizes cost of forest clearing • Shortened fallows, insufficient nutrient replacement and falling yields require more intact forest to be cleared
Change in traditional fire regimes	<ul style="list-style-type: none"> • Traditional practices and reasons for change not well understood – needs to be investigated during project development
Expansion/opening of new mines	<ul style="list-style-type: none"> • The Lubumbashi area is one of the more highly mineralized zones on the planet • Government policies have traditionally favoured mining over renewable natural resources
Climate change (General consensus that dry season has gotten much longer)	<ul style="list-style-type: none"> • Burning of fossil fuels and forest clearing, especially for agriculture – both global root causes.

⁷ Part II should not be longer than 5 pages

Barriers to sustainable land and forest management

Barriers to Sustainable Forest Management As mentioned, most of the DRC's investments in forest management have been in the humid forests and the large areas of miombo woodlands in Katanga Province have historically received relatively little attention. The greatest single barrier to sustainable miombo forest management is the fact that there are no tested and proven miombo forest management system for the production of charcoal and fuelwood. Community-based miombo forest restoration techniques have been clearly demonstrated, but there have been as yet no attempts to develop sustainable harvest systems for the production of wood fuels from the miombo. A second major barrier is the lack of a suitable legal framework for sustainable forest management, especially for the integration and empowerment of communities for forest management. Existing laws are primarily geared toward revenue generation, have little or nothing to do with forest management. The overwhelming importance of mining in Katanga Province has left the forest sector largely ignored to the point where legislation governing the permitting for the harvest of wood products is not enforced and fees and taxes are not collected. A third barrier is the strong lack of institutional capacities (technical, financial/economic and governance) for the sustainable management for wood fuels/wood products. This is not at all surprising because such capacities must be built around actual forest management systems and they do not exist. A fourth barrier is the lack of knowledge about sustainable forest management and the lack of knowledge management systems. Although DRC is Francophone, almost no one at the central level or in Katanga Province is aware of the 28 years of experience with community-based dryland forest management for the production of wood fuels for urban markets in seven countries of Francophone Sahelian West Africa. Language is an additional barrier to knowledge about relevant experiences in the other miombo countries, all of which are Anglophone or Lusophone. There has been little contact and exchange with these SADC countries and west African Sahelian countries.

Barriers to Sustainable agriculture Traditionally, agriculture in the miombo zone was sustained through the use of very long fallow periods that allowed for the restoration of soil fertility. Miombo forests are generally characterized as having some of the poorest soils on the continent and those in the Lubumbashi appear to be no exception. Wherever population density makes long rotation fallows impossible, agricultural sustainability poses a very difficult problem and generally requires well funded research and extension programs to develop new, intensive farming systems. More intensive farming systems invariably require a minimum of purchased agricultural inputs. A major barrier is that no such tested, proven agricultural systems ready for extension have been developed in southeastern Katanga. Wherever farmers have access to intact miombo forest land, clearing miombo for new cropland is generally their preferred option – i.e. Agricultural extensification is preferred over agricultural intensification. Such intact miombo forest land is readily available in much of the Lubumbashi charcoal supply zone. The fact that farmers clearing intact forest can make considerable revenue from the charcoal made from the trees cleared makes the clearing of more forest doubly attractive.

Baseline Scenario and Associated Baseline Projects

The baseline consists of the following activities/projects, some of which will cofinance the proposed project components described in the next section:

Government of DRC. Addressing the degradation of lands and forests has emerged as a government priority. Forest management in DRC is governed by the 2002 Forest Code, which gives a role to communities to participate in forest management and be able to draw benefits. Despite the provisions of the Forest Code, community empowerment in local forest management is not yet effective. Recognizing that a key barrier to the potential for communities to play a strong role in forest conservation is the lack of legal instruments to empower communities, the Ministry of Nature Conservation, Environment and Tourism (MNCET) is working on legal reforms to address this. MNCET has drafted a ministerial, or inter-ministerial decree that would allow for 25 year renewable community forest concessions and they are pushing for the adoption of this decree. The revision to the legal framework is an important part of the proposed project – with component 2 aiming to strengthen the legal framework for sustainable community-based forest management.

REDD+ Program. DRC has been actively engaged in the REDD process since 2009, setting up national level coordination and working groups and implementing pilot projects, working with civil society, local communities, the private sector and international partners. Under the UN-REDD programme, with the support of FAO, the Brazilian National Institute for Space Research and local and international stakeholders, the Government of DRC has taken the lead in developing the National Forest Monitoring System (NFMS). The

main aim of NFMS is to monitor DRC's REDD+ policies and measures, reporting on results from REDD+ demonstration activities in the forestry sector. Part of the roadmap for building the REDD+ Strategy is implementing various strategic REDD+ demonstrations on the ground. Most of the focus of the REDD+ pilots so far has been on tropical forests. The proposed project fills a gap by focusing on the miombo forest ecosystems and will contribute to shaping the REDD+ Strategy.

The Ministry of Nature Conservation, Environment and Tourism and FAO have recently completed two community miombo forest restoration pilot projects on 5,000 has at Kikonké about 30 km SW of Lubumbashi. These have demonstrated a) the exceptionally robust capacity of severely degraded miombo forests to regenerate themselves when overcutting, clearing and fires are controlled, and; b) community control and protection can be very effective for miombo forest restoration, working with civil society. These projects have laid the groundwork for the proposed project.

A number of NGOs are implementing activities that contribute to the objectives of the proposed project. These include PREMICONGO, one of the key implementing partners for the two FAO-supported projects that successfully restored 5,000 hectares of miombo forest at Kikonké. PREMICONGO conducts participatory gender analysis in forestry, participatory mapping of forest sites, multi-resource forest inventory, assessment of the market value of Non Timber Forest Products and initiation of community forestry activities for preservation, conservation and regeneration of forest lands. PREMICONGO is currently carrying out quantitative and qualitative assessment of mining impacts on deforestation and degradation in Katanga province. This assessment will inform the revision of the legal framework for forest management. OSFAC (Satellite Observatory for the Forests of Central Africa) is implementing activities related to capacity building of specialists in government agencies and civil society organizations in monitoring and evaluating changes in forest quality, extent, carbon stocks and emissions.

GIZ is implementing a Biodiversity and Sustainable Forest Management Project in three field sites including one in the miombo woodlands in Katanga Province. The three thematic components of the project are: a) protected areas management; b) sustainable forest management, and c) institutional support and training. The forest management component will involve reforestation and forest restoration. GIZ have indicated that they will provide cofinancing for capacity building (including for carbon monitoring), legal revisions and knowledge management. African Minerals' Kamoia Community Forest Management Programme at Kolwezi has been the first to invest in carbon accounting in the miombo forest in DRC in combination with forest inventory and mapping. The program is also investing in community-based forest restoration and reforestation.

The proposed alternative scenario

With the budgetary resources available, a single project could not hope to adequately address both of the key barriers to sustainable land use identified: a) lack of miombo forest management systems, and: b) lack of proven productive sustainable agricultural systems. In developing this PIF, a strong consensus developed that DRC should invest its GEF allocation in a project that will address the first barrier – the lack of SFM systems for the miombo forest.

Any SFM for miombo woodlands that does not include the sustainable production of wood fuels for urban centers will not address the single greatest threat to the miombo forests in the Lubumbashi area. Making charcoal illegal is not a viable option – Malawi spent decades trying to make charcoal illegal, has not developed any operational management systems for wood fuels production and has now lost about 90% of their miombo forests. At a meeting of 23 government officials and university and NGO staff held in Lubumbashi during PIF development, a strong consensus was developed that this project should focus on the development of community-based miombo forest management that takes into consideration the sustainable production of wood fuels in order to address the key driver of miombo forest degradation and deforestation. Any forest management system that does not include sustainable wood fuels production would only result in severe leakage.

A soon to be published, USAID-funded review of community forestry in Africa found that all of the relevant experience with community forestry for large scale supply of urban markets for wood fuels that appears in the literature seems to be found in Sahelian West Africa. Although there are 28 years of such experience covering seven countries, it is not very well documented in the peer reviewed literature. Community-based forest management in the Sahel has focused from the beginning on the sustainable commercial production of wood fuels for urban markets while sustaining a flow of diverse ecosystem services and contributing to local

livelihoods. Although not identical, the ecological conditions of the wooded savannas and other types brought under management in West Africa are not that different from those of the miombo in DRC. Communities in similar rainfall and forest types in Senegal last year earned \$700,000 from the sale of charcoal from sustainably managed community forests. There is a good opportunity to adapt the varied lessons learned and best practices from the Sahelian experience to the miombo woodlands of DRC.

The proposed five year project will be based in Lubumbashi. The supply zone for Lubumbashi has been selected as the project area because it is the largest city (5 million inhabitants) in DRC's miombo region with the largest urban market for charcoal and fuel wood and the largest negative impact on the miombo forests in its supply zone. Lubumbashi's supply zone already overlaps with that of Likasi, another rapidly growing urban center. The project will have three components: 1) Development of sustainable community-based forest management systems; 2) Strengthening the legal framework, and; 3) Strong knowledge management systems developed in support of community-based forest management. Each component is described below:

Component 1: Development of sustainable community-based forest management systems. The project will target communities within, or just outside of, the present charcoal supply zone for Lubumbashi. Community participation will be strictly on a voluntary basis, starting with a small number of pilot communities and then expanding the number of communities and the areas of forest under community management during the full life of the project. The Project will assist each pilot community to create a representative, legally constituted community management unit for the management of the community's forest. The communities will be required to: a) negotiate clearly defined, mutually agreed boundaries of their village/community lands with their neighbors; b) commit themselves to sustainable use of their forest resources, and; c) commit themselves to the equitable sharing of costs and benefits of forest management. The project will then assist each pilot community structure to be legally empowered by the Ministry of Environment. The pilot communities will be legally granted the contractual rights to control access to their forests, to establish and to implement rules governing access and use of the forest and the right to harvest and market forest products, including wood and non-wood products and wood fuels.

Participatory land use planning of community will define zones for different types of forest management and zones set aside for agriculture. The full community will be involved in deciding what uses they want to manage their forests for – their management objectives. For those communities that choose to include fuelwood production as one of their objectives, a suitable cutting cycle will be defined (typically about 10 years) and forest areas will be divided into that number of cutting units. Fire management techniques, including early controlled burning to avoid destructive mid-to late season fires, will be tested and integrated into management systems and measures to favor NTFP production. And this will be summarized in a simple, user-friendly management plan.

The project will assist each pilot community to set-up appropriate community fund whereby a portion of revenues from the sale of wood and non-wood forest products are put into the management fund to be used to cover forest management costs. A capacity development plan will be developed and implemented, with training of community managers and community support institutions (government, NGOs, civil society) trained in participatory resource management, forest restoration and carbon measurement and monitoring, governance and business management. Considerable resources will be dedicated to building the capacity of the pilot communities. To facilitate replication, a provincial strategy (with clear sources of financing identified) for sustaining, replicating and adapting CBNRM around urban centers throughout the province will be developed.

Component 2: Strengthening the Legal Framework. This component addresses the second major barrier and will support revisions to the policy, legal and regulatory frameworks as needed to provide the strongest possible legal base for sustainable community-based forest management. There are two principal challenges here: a) MNCET is working on new legal tools for empowerment of communities for forest management, but there is no guarantee it will be passed before project startup and no drafts are available to judge its merits. Therefore, there may be need for the identification and use of interim legal tools to empower the pilot communities, at least on an interim basis, while a new legal framework is put in place; b) There will be need for future modification based on the lessons learned from this and other projects. The project will assist the Ministry and the communities to make any interim measures workable and the project will support experience-based legal reforms later in the project.

Component 3: Knowledge management, dissemination and monitoring and evaluation. As there are no identified examples of sustainable management of forests that take into consideration sustainable

production of wood-based fuels in any of the countries with miombo, it will be a major challenge to develop the knowledge base needed. This will also be a major opportunity for DRC to be a leader in this respect for the miombo countries. The project will first undertake a review of lessons learned and best practices in the community-based management of semi-arid forests in the miombo zone and throughout Africa, but especially in West Africa. A network of practitioners and researchers spanning the miombo zone and the West African countries will be created. Periodic syntheses will be done and lessons learned and best practices based on project and DRC experience disseminated. Curricula for community-based forest management at the University of Lubumbashi and technical school levels will be developed to build the human resource base needed for scaling up. Project M&E system, and mid-term and final project evaluations will also enhance knowledge and knowledge management capacities.

Incremental cost reasoning

There is no doubt that the various past and ongoing forest management initiatives in the DRC miombo contribute positively to the management of the ecosystems but there is need for a greater effort to build on and consolidate achievements of these. As mentioned, a lot of focus and significant investments in the past has been on the tropical forests. Without giving sufficient attention to the miombo forests, and without the proposed project, the degradation and deforestation of miombo will continue and erode the ecosystem services they provide.

All of the main barriers to SFM are also major barriers to the reduction of carbon emissions from the loss of intact forests. The project will directly address the most important barrier -- the lack of a sustainable management systems that incorporates the sustainable production of wood fuels from the miombo forest. Management systems that do not include wood fuels production would only result in severe leakage – charcoal makers and firewood cutters would simply move on to other forests. The project will also address the constraints posed by the lack of capacities of communities and community support institutions to implement or support this new form of management and to continue its replication beyond the life of the project. The project also addresses the lack of a suitable legal framework for empowering communities with the rights to control access to their local forests, to manage them and to harvest and sell forest products.

Moreover, the project will contribute to the development of DRC's REDD+ Strategy and highlight the importance of the miombo forest ecosystems in the reduction of carbon emissions.

Global benefits

80,000 ha of miombo forests will be brought under sustainable management. This includes 20,000 ha of fully stocked woodlands (that are under threat and would have been eventually cleared for charcoal making) and 60,000 ha of degraded woodlands. Forest cover is estimated to increase by 10% which will lead to restoration of fully-stocked woodlands of 6000 ha (10% of 60,000 ha).

Density of carbon in Miombo woodlands that are not severely degraded has been very conservatively estimated as 19 tC/ha using different international studies⁸. By restoring 6000 ha of degraded woodlands, in the project site, 114,000 tC (6000 ha x 19 tC/ha) can be sequestered. This is equivalent to 418,380 tCO₂eq. Avoided carbon emissions from deforestation of 20,000 ha of fully stocked Miombo woodlands brought under sustainable management would be 380,000 tC (20,000 ha x 19 tC/ha) or 1,394,600 tCO₂eq.

(Please note that precise calculations will be done during project preparation).

Innovativeness, sustainability and potential for scaling up

⁸ Linda, S.K, Mringi, S, Munishi, P.K.T, Shirima, D.D, 2010. *'The role of the Miombo Woodlands of the Southern Highlands of Tanzania as carbon sinks'* Journal of Ecology and the Natural Environment 2 (12): 261-69

Dougill, A.J., Kalaba, F.K., Quinn, C.H., 2012. *'Carbon storage, biodiversity and species composition of Miombo woodlands in recovery trajectory after charcoal production and slash and burn agriculture in Zambia's copperbelt'*, Sustainability Research Institute, Paper No. 40

Fernando, J, Grace, J, Rees, R.M., Ryan, C.M., Sambane, E, Williams, M, 2008. *'Carbon sequestration and biodiversity of re-growing Miombo woodlands in Mozambique'*, Journal of Forest Ecology and Management 254 (2008) 145-155

Innovativeness The project will be highly innovative for Katanga Province and for DRC. A literature review of community forestry in Africa in 2012⁹ did not identify any similar forest management programs producing large amounts of wood fuels for urban markets outside of West Africa. A similar GEF-funded initiative for Kenya is still in the design phase. The legal empowerment of communities and the financing (community management fund pilot) aspect of the community management systems to be developed by the project are other innovations for DRC.

Sustainability The proposed management systems should be quite sustainable on the ecological level if implemented as conceived. The main challenges to sustainability are to be found in the political spheres. When communities come into conflict with outsiders, government authorities need to intervene to defend the rights transferred to the communities. A minimum of outside supervision, monitoring and support services will need to be maintained and this means a minimum level of funding. The Government has demonstrated a strong political will by embarking on legal reforms which should contribute to the sustainability. A provincial strategy for sustaining, replicating and adapting CBNRM around urban centers throughout the province will be developed during project implementation.

Potential for Scaling Up As mentioned above, the project will develop a strategy for scaling up. Scaling up will also be facilitated by knowledge management and dissemination of best practices. The development of curricula for community-based forest management at the university and technical school levels will also ensure the human resource base needed for scaling up. During project development, the possibility of fiscal reforms for dedicated funding for scaling up will be investigated.

A.2 Stakeholders

A list of key stakeholders and their potential roles in the project preparation is given in the table below. A detailed stakeholder analysis will be conducted during project preparation. This will include consultations with local communities, including separate consultations with men and women given the very different ways that each gender uses the forest. Inception and terminal workshops will engage the full range of stakeholders.

Stakeholders	Roles in Project Development
Ministry of Nature Conservation, Environment and Tourism at the central and provincial (Regional Environmental Coordination office) levels	Main executing partner. Responsible for supervision, coordination, participation and monitoring of project development. Will ensure that project development is in line with national and ministerial priorities and policies.
Other relevant ministries and departments (Ministry of Mines, Min. of Agriculture, Min. of Industry, Small and Medium Sized Enterprises, Min. of Rural Development among others)	Cross-sectoral project partners will be consulted to ensure awareness, advice and support for the project.
FAO	GEF implementation agency responsible for ensuring that project development adheres to GEF criteria, strategies and guidelines. Responsible for providing technical assistance and overall management and supervision of the project preparation
Local communities	Main project beneficiaries. Will be consulted closely to better understand their production systems, their varied uses of the forest, their priorities, constraints and aspirations, their tenure systems, and their capacities for governance, enterprise development, NRM and to better ascertain their willingness to invest in community-based forest management.
Traditional authorities	Will consult closely with them to better understand their roles in land and forest tenure and access rights, their views towards the proposed project, their willingness to share or cede authority to the new elected community management units, their potential roles in assisting these new structures to ensure compliance with the new rules governing access and use of resources and their potential roles in preventing illegal incursions by outsiders.
GIZ/PBF	Co-financing partner Will seek to define areas of collaboration on various

⁹ The study was done by Tom Blomley for the USAID funded FCMC program. It should be released for public use in the near future.

	aspects including capacity building, legal reform and knowledge management
OSFAC	Co-financing partner. Will provide imagery and may be funded to perform image analysis and mapping of the project area
PREMICONGO (local NGO)	Co-financing partner(s) Will be consulted for their local knowledge and experience, especially for the best approaches for working with communities.
Civil Society: OEARSE, OPED, GTCR/APRONAPAKAT, Bureau Diocésain, RRN/KAT, UNEF, OPN, ATDRU, ECN	Will be consulted for their local knowledge and experience in their respective areas of expertise, especially for the best approaches for working with communities and in building communities capacities.
AEFAKAT (Association of private sector logging and wood product businesses)	Will consult them on the potential for developing private sector/community partnerships.
University of Lubumbashi and the Institut Supérieur Pédagogique	Co-financing partners. Will play a key role in the development of the knowledge management component.
Mining companies	Potential co-financing partners. Will seek the support of those who have policies and funds for the support for social and development and environmental activities.
Private sector (excluding mining companies)	Will explore their interest in developing partnerships with communities for the harvest, processing and marketing of NTFP such as mushrooms, sawtimber, caterpillars, honey production, etc.

A.3 Risks. Indicate risks, including climate change risks, potential social and environmental risks that might prevent the project objectives from being achieved, and, if possible, propose measures that address these risks to be further developed during the project design (Table format acceptable).

Risk	Rating	Mitigation Measures
The newly elected community management structures will not have the governance capacities to enforce the new rules governing the conditions of access and use of forest resources.	Medium	The project will make it very clear from the initial awareness raising that the new management systems will require fundamentally different rules for accessing and using forest resources. The project will seek to ensure that new rules be openly debated by the full community before their adoption. The project will seek to ensure that traditional authorities are integrated and supportive of the new systems without being directly in control of them.
Insecurity: Low level rebel activity occurred around Lubumbashi earlier in 2013 and could recur in the future	Low	Insecurity has been widespread in DRC but not in the Lubumbashi area. Given the high level of investments in the mining sector, and problems can be expected to be dealt with rapidly.
Insufficient political will associated with changes in high ranking key officials, changing priorities, opposition by the rich and powerful who benefit from the existing charcoal market chain or similar factors.	Medium	The project will maintain close communications with high authorities, keeping them briefed on successes and challenges as they develop and on the socio-economic and environmental benefits of the pilot management systems.
Climate change may increase the chances of destructive fire or of forest mortality. It may lead to more frequent crop failure leading people to rely more on destructive harvesting for charcoal.	Low	Empowering communities to manage local forests is probably the best measure for adapting to climate change. Communities can actively manage and control fire and can influence forest regeneration favouring species better adapted to a changing climate. Community management also contributes to climate change mitigation.

A.4 Coordination with other relevant GEF financed and other initiatives.

The project will coordinate with the following initiatives/entities.

- GEF-FAO Regional Project "Sustainable Management of the Wildlife and Bushmeat Sector in Central Africa" is developing pilot community-based wildlife management systems at eight pilot sites in four Congo Basin countries, including DRC. The Bushmeat project is confronted with many of the same challenges as the Miombo project including the critical need to find interim legal tools to empower

- pilot communities before national legal frameworks are revised. The Miombo project will maintain close contact to exchange best practices and lessons learned.
- GEF-UNDP Project 'Building the Capacity of the Agriculture Sector in DR Congo to Plan for and Respond to the Additional Threats Posed by Climate Change on Food Production and Security'. The project has one site in the Katanga province. The project will aim to build technical capacities of small farmers and agricultural institutions, diversify livelihood strategies and build climate resilience among rural population and disseminate the best practices. The Miombo Project will maintain close contact with the Katanga site and will make any pertinent lessons learned and best practices known to pilot communities of the Miombo Project.
 - Forest Investment Program funded by the World Bank and AfDB. This program, which will work in three watersheds in three provinces (Western Kasai, Eastern Kasai and Kisangani) is quite relevant because its objectives are to decrease in the rate of deforestation and forest degradation; sustainable development of the wood fuels market chain; and secure land tenure and the development of alternatives to slash-and-burn agriculture. Mechanisms for coordination with this program will be established during project preparation.

B. DESCRIPTION OF THE CONSISTENCY OF THE PROJECT WITH:

B.1 National strategies, plans, reports or assessments under the relevant conventions

The project is closely aligned with the DRC's National Action Plan (NAP) for the United Nations Convention to Combat Desertification which identifies rational management of natural resources and decentralization and effective participation of stakeholders as one of the priorities. The program is also based on other national planning strategies such as DSCR (Strategy Document for Growth and Poverty Reduction) and the UNDAF (United Nations Development Assistance Framework), and takes into account the strategic directions of the other environmental planning process (notably strategies for the implementation of United Nations Framework Convention on Climate Change and the United Nations Convention on Biological Diversity).

The project is consistent with the priority actions on reducing land and forest degradation, and rehabilitation of degraded landscapes identified in the DRC's national communication to UNFCCC. The project will contribute to the development/refinement of the REDD+ strategy by providing lessons and best practices on sustainable community-based forest management, and will feed into the ongoing the revision of the legislation on the rights of local communities over forests.

The project also links up with DRC's National Adaptation Program of Action (NAPA) which cites the management of forest resources as a priority action. Factors contributing to soil degradation identified by NAPA that the project will address include bush fires, deforestation and slash and burn agriculture. Other broader governance challenges identified in the NAPA that the project will address include weak legislation and lack of implementation, lack of knowledge on resources and their trends, centralized management and weak stakeholder participation.

The National GEF Portfolio Formulation Exercise has identified this miombo forest management project as a priority.

B.2 GEF focal area and/or fund(s) strategies, eligibility criteria and priorities

The project covers the Land Degradation and Climate Change Focal Areas and supports the achievement of the following GEF strategy objectives:

SFM- 1 The project will reduce harvest for wood fuels down to sustainable levels and will begin to restore degraded forests re-establishing sustainable flows of diverse ecosystem services.

SFM-2 The project will strengthen the enabling environment to reduce GHG emissions from deforestation and forest degradation by strengthening capacities to measure and monitor carbon stocks and will enhance carbon sinks from LULUCF activities through the restoration of degraded miombo forests.

CCM-5 The project will promote conservation and enhancement of carbon stocks through sustainable community-based forest management systems which will incorporate practices that address the highly unsustainable rate of overcutting of miombo forests for charcoal and fuelwood for urban markets, and

LD-2 The project will generate sustainable flows of forest ecosystem services by transforming the highly unsustainable livelihood contributions of destructive harvest for charcoal making into sustainable multi-purpose forest production systems that make long term contributions to rural livelihoods.

B.3 The GEF Agency's comparative advantage for implementing the project

FAO is the United Nations institution with the mandate to work on forestry, agriculture and natural resource management. FAO developed the oldest surviving community forest project in Africa, a project that put over 70,000 ha under community management in Burkina between 1987 and 1993. FAO has been the leader in the development of community forestry in DRC, including the 5,000 ha of restored community miombo forest at Kikonké near Lubumbashi, and the leader in developing the monitoring, reporting and verification (MRV) component of the REDD. FAO is implementing the innovative GEF Bushmeat Project in DRC and in three other Congo Basin countries.

FAO has a fully fledged representation in DRC and also has a permanent coordination unit in Lubumbashi, giving them the operational capacity to implement this project. In addition, technical backstopping will be provided by a multi-disciplinary project task force comprising FAO technical staff based in Rome and the sub-regional office in Libreville.

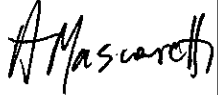
PART III: APPROVAL/ENDORSEMENT BY GEF OPERATIONAL FOCAL POINT(S) AND GEF AGENCY(IES)

A. RECORD OF ENDORSEMENT OF GEF OPERATIONAL FOCAL POINT (S) ON BEHALF OF THE GOVERNMENT(S): (Please attach the Operational Focal Points endorsement letter(s) with this template. For SGP, use this OFF endorsement letter).

NAME	POSITION	MINISTRY	DATE (MM/DD/YYYY)
Vincent KASULU SEYA MAKONGA	Directeur du Développement Durable ; Point Focal Opérationnel FEM et Point Focal UNFCCC/Rep.Dem.du Congo	MINISTERE DE L'ENVIRONNEMENT, CONSERVATION DE LA NATURE ET TOURISME	08.13.2013

B. GEF AGENCY(IES) CERTIFICATION

This request has been prepared in accordance with GEF/LDCF/SCCF policies and procedures and meets the GEF/LDCF/SCCF criteria for project identification and preparation.

Agency Coordinator, Agency name	Signature	Date (Month, day, year)	Project Contact Person
<p><i>for</i></p> <p>Gustavo Merino Director Investment Centre Division Technical Cooperation Department FAO Viale delle Terme di Caracalla (00153) Rome, Italy TCI-Director@fao.org</p> <p>Barbara Cooney FAO GEF Coordinator Email: Barbara.Cooney@fao.org Tel: +3906 5705 5478</p>		13 August, 2013	<p>Jean-Claude Nguingiri, Forestry Officer FAO Subregional Office for Central Africa JeanClaude.Nguingiri@fao.org</p> <p>Adrian Whiteman, Senior Forestry Officer FAO Forestry Department, Rome +39 06 570 55055 Adrian.whiteman@fao.org</p>