FAO/GEF PROJECT DOCUMENT ANNOTATED TEMPLATE

Note that the guidance/annotations under each heading and subheading is for guiding formulators only and should be deleted during the drafting of the document.

Project Title:	The Restoration Initiative, DRC child project: Improved management and restoration of agro-sylvo-pastoral resources in the pilot province of South-Kivu
FAO Project symbol:	GCP/DRC/054/GFF
GEF Project ID:	9515
Recipient Country(ies):	Democratic Republic of Congo
Executing partners:	Ministry of Environment, Nature Conservation and Sustainable Development (MEDD)
Expected EOD (Starting Date):	2018
Expected NTE (End Date):	2023
Contribution to FAO's Strategic Framework: (Indicate as appropriate)	The TRI child project will contribute to the following GEF Food and Agriculture Organisation (FAO) Strategic Objectives: i) FAO Strategic Objective 1 related to helping eliminate hunger, food insecurity and malnutrition ii) FAO Strategic Objective 2 related to making agriculture, forestry and fisheries more productive and sustainable iii) FAO Strategic Objective 3 related to reducing rural poverty
Contribution to GEF TF Focal Area Strategic Objectives and Programs: Contribution to Climate Change Adaptation Strategy Strategic Objectives (LDCF/SCCF projects):	The Global Environment Facility (GEF)-funded project will contribute to the following GEF Focal Areas Objectives: iv) Biodiversity BD-4 Programme 9: Managing the Human-Biodiversity Interface v) Climate Change Mitigation CCM-2 Programme 4: Promote conservation and enhancement of carbon stocks in forest, and other land use, and support climate smart agriculture vi) Land Degradation LD-3 Programme 4: Scaling-up sustainable land management through the Landscape Approach vii) Sustainable Forest Management SFM-3: Restored Forest Ecosystems: Reverse the loss of ecosystem services within degraded forest landscapes
Environmental and Social Risk Classification	low risk × moderate risk □ high risk □
Gender Marker[1]	G0 □ G1 □ G2a □ G2b □
Financing Plan: GEF/LDCF/SCCF allocation: Co-financing: Sub-total co-financing: **Total budget:**	 US$ 3,600,000 GIZ: US$ 9,424,800 (Exchange rate 1.19USD/EURO) LCD: US$ 626,730 (Exchange rate 1.19USD/EURO) Government: US$ 1,930,000 FAO: US$ 400,000 US$ 12,381,530 US$ 15,981,530

[1] See Guidance Note on 'Gender Mainstreaming in project identification and formulation'.

Executive Summary

The project described in this document is one of the 11 projects of The Restoration Initiative (TRI) funded by GEF Trust Fund (GEFTF). TRI was designed to assist the selected countries in meeting the restoration targets pledged as part of the Bonn challenge through promoting the Forest and Landscape Restoration (FLR) approach. This initiative is aligned with the objectives of regional and international agreements ratified by the Democratic Republic of Congo (DRC).

DRC is known for its dense tropical forests, which represent 47% of tropical African forests as well as its fauna and flora diversity. However, population growth and urbanism have led to the degradation of natural ecosystems. The pilot province of South-Kivu has one the highest population densities in DRC, with impacts on the Kahuzi-Biega National Park (KBNP) thereby threatening the conservation of this United Nations Educational, Scientific and Cultural Organization (UNESCO) word heritage site. In addition, the poverty rate in South-Kivu is ~80%. The main income generating activities are agriculture followed by livestock husbandry. However, the productivity of both activities is reducing because of increasing pressure on soil resources and unsustainable exploitation practices, thereby further aggravating poverty and food insecurity of rural communities.

Ecosystem restoration appears clearly as a priority in DRC based on the national strategies and plans. However, several barriers prevent the implementation of a coordinated restoration effort in the country. Firstly, the knowledge available on current land-use zones in South-Kivu is insufficient for efficient restoration planning. There are also gaps and discrepancies in the policy framework of the relevant sectors to enable the integrated management of natural resources. In addition, restoration is prioritised at the national scale but not yet at the local scale because food insecurity issues are prioritised rather than sustainable development, and knowledge on the potential of FLR to raise multiple environment and socio-economic benefits is insufficient. At the community level, poverty, land-tenure issues, insufficient technical capacity and limited access to financial opportunities prevent the population from adopting improved income-generating activities. Local communities' livelihoods rely on natural resources, which are constantly decreasing. Government and non-government institutions do not have sufficient institutional, financial and technical capacity to support local communities in adopting sustainable management practices for natural resources. Knowledge sharing on the management of natural resources is poor at the government and community level, which hinders the efficiency of restoration efforts.

The design of this TRI child project was a participative exercise. It is based on two multi-sectoral workshops, consultations with decentralised government authorities and non-government institutions, and focus groups with rural communities. These consultations were undertaken between November 2016 and May 2017. Based on the information collected, four components were developed to address the barriers identified: i) policy development to promote FLR at the provincial level; ii) FLR and sustainable livelihoods based on natural resources in the mountain region of South-Kivu Province demonstrated at the chiefdom level; iii) institutional and funding capacity to upscale FLR at the Provincial and National levels; and iv) knowledge sharing on FLR, partnership, and monitoring and evaluation of FLR interventions. The on-the-ground interventions will be implemented in two chiefdoms: Kabaré in Kabaré Territory and Ngweshe in Walungu Territory.

The project has a duration of five years and a total budget of US$ 15,981,530 to be financed through a US$ 3,600,000 US$ GEFTF grant and US$ 12,381,530 co-financing (See attached letters of GIZ, UCL, DRC and FAO).

Contents

ACRONYMS 6

SECTION 1 – PROJECT RATIONALE 9

1.1 OVERVIEW OF THE PROJECT CONTEXT 9

1.1.1. Project context 9

1.1.2 Selected sites and site selection process 18

1.2 THE CURRENT SITUATION 23

1.2.1 Main environmental threats 23

1.2.2 Baseline initiatives 25

1.2.3 Remaining barriers to address the environmental threats 27

1.3. THE GEF ALTERNATIVE 32

1.3.1 Development objective and project objective 32

1.3.2 Project components, outcomes and outputs 33

1.3.3 Project assumptions 44

1.3.4 Cost-effectiveness of the FLR interventions of TRI child projects 45

1.3.5 Stakeholder consultation and engagement 45

1.4 LESSONS LEARNED 48

1.5 ALIGNMENT AND STRATEGIC FIT 49

SECTION 2 – INNOVATIVENESS, POTENTIAL FOR SCALING UP AND SUSTAINABILITY 58

2.1 INNOVATIVENESS 58

2.2 POTENTIAL FOR SCALING UP 58

2.3 SUSTAINABILITY 59

2.3.1 Environmental Sustainability 59

2.3.2 Gender Equality 59

2.3.3 Indigenous people 61

2.4 HUMAN RIGHTS BASED APPROACHES (HRBA). INCLUDING RIGHT TO FOOD, DECENT WORK, ACCOUNTABILITY TO AFFECTED POPULATIONS 62

2.5 CAPACITY DEVELOPMENT 63

SECTION 3 – INSTITUTIONAL AND IMPLEMENTATION ARRANGEMENTS 64

3.1 INSTITUTIONAL ARRANGEMENTS 64

3.1.1 Roles and responsibilities of main institutions 64

3.1.2 Coordination with other initiatives 68

3.2 IMPLEMENTATION ARRANGEMENTS 71

3.3 RISK MANAGEMENT 3

3.3.1 Significant risks facing the project 3
3.3.2 Environmental and social risks 3
3.3.3 Risk management strategy 4
3.4. FINANCIAL MANAGEMENT 4
3.4.1 Financial planning 4
3.4.2 Financial management and reporting 1
SECTION 4 – MONITORING, REPORTING AND EVALUATION **3**
4.1. OVERSIGHT 3
4.2 MONITORING 3
4.3 REPORTING 3
4.4 EVALUATION 5
4.5 M&E Plan 1
4.6 COMMUNICATION 2
ANNEXES 1
ANNEX 1: RESULTS MATRIX 1
ANNEX 2: WORKPLAN 1
ANNEX 3: BUDGET 5
ANNEX 4: THE PROJECT RISK LOG 13
ANNEX 5: RISK CLASSIFICATION CERTIFICATION FORM 15
ANNEX 6: TERMS OF REFERENCE OF PROJECT MANAGEMENT UNIT STAFF 16
ANNEX 7: SOME SUGGESTED SITES FOR THE IMPLEMENTATION OF ON-THE-GROUND INTERVENTIONS OF COMPONENT 2 21
ANNEX 8: TREE SPECIES PRE-IDENTIFIED FOR THE DEVELOPMENT OF AGROFORESTRY UNDER THE TRI CHILD PROJECT 24
ANNEX 9: EXAMPLE OF SMALL-SCALE FINANCIAL STRUCTURE THAT COULD BE PROMOTED BY THE PROJECT: VILLAGE ASSOCIATIONS FOR SAVINGS AND CREDITS (AVEC) 26
ANNEX 10: ENVIRONMENTAL AND SOCIAL RISK IDENTIFICATION: APPLICABLE ENVIRONMENTAL AND SOCIAL SAFEGUARDS 27
ANNEX 11: PROJECT MITIGATION BENEFITS EXACT - METHODOLOGICAL BASIS OF CARBON BENEFITS QUANTIFICATION 43
ANNEX 12 LINKAGES BETWEEN THIS TRI CHILD PROJECTS AND THE TRI PROGRAM 46
ANNEX 13: REQUEST BY GOVERNMENT PARTNER TO FAO TO DELIVER DIRECT SUPPORT SERVICES AND FAO SEGREGATION OF IMPLEMENTATION AND EXECUTION FUNCTIONS 50
ANNEX 14: UN-OFFICIAL TRANSLATION OF CO-FINANCING LETTERS 53

ACRONYMS

Acronym	English version (translation)	Original French version
AFR100	African Forest Landscape Restoration Initiative	
APFS	Agro-pastoral Field School	
AIBEF	Support to Initiatives of Families Well-being	Appui aux Initiatives de Bien Être Familial
APED	Action for Peace, Education and Development	
AVEC	Village Associations for Savings and Credits	Associations Villageoises d'Épargne et Crédit
BD	Biodiversity	
BH	FAO Budget Holder	
CAADP	Comprehensive Africa Agriculture Development Programme	
CAFCO	Permanent Consultative Framework for Congolese Women	Cadre permanent de concertation de la Femme Congolaise
CAFI	Central African Forest Initiative	
CAPSA	Adaptation and Improved Seed Production Centres	Centre d'Adaptation et de Production des Semences Améliorées
CARE	Cooperative for Assistance and Relief Everywhere	
CARPE	Central Africa Regional Programme for the Environment	Programme Régional pour l'Environnement en Afrique Centrale
CARG	Rural Management Committee for Agriculture	Conseil Agricole Rural de Gestion
CBD	Convention for Biological Diversity	
CCM	Climate Change Mitigation	
CDP	Chiefdom Development Plan	Plan de Développement de la Chefferie
CIM-Bushi	Inter-Wetland Council of the Bushi	Conseil Inter-Marais du Bushi
CNULD	National Committee against Land Degradation and Deforestation	Convention des Nations Unies sur la Lutte contre la Désertification
CoCoCo	Community-based Conservation Committee	Comités de Conservation Communautaire
COMIFAC	Central African Forests Commission	
CRSN-Lwiro	Natural Sciences Research Centre of Lwiro	Centre de Recherche des Sciences Naturelles of Lwiro
DDD	Sustainable Development Directorate	Direction de Développement Durable
DIAF	Inventories and Forest Management Directorate	Direction des Inventaires et Aménagements Forestiers du MECN-DD
DPEM	Directorate for Mining Environment Protection	Direction de le Protection de l'Environnement Minier
DRC	Democratic Republic of Congo	République Démocratique du Congo
DSCRP	Second Strategy Document for Growth and Poverty Reduction	Second Document Stratégique pour la Croissance et la Réduction de la pauvreté
ERAIFT	Regional School for Integrated Management of Tropical Forests	École Régionale d'Aménagement Intégré des Forêts Tropicales
EX-ACT	Ex-Ante Carbon-Balance Tool	
FAO	Food and Agriculture Organisation	
FFS	Farmer-Field School	
FH	Food for the Hungry	
FLR	Forest and Landscape Restoration	
FPMIS	Field Programme Management Information System	
GEF	Global Environment Facility	
GEFTF	Global Environment Facility Trust Fund	
GIS	Geographic Information System	
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit	
ICCN	Congolese Institute for Nature Conservation	Institut Congolais pour la Conservation de la Nature
IITA	International Institute for Tropical Agriculture	Institut International d'Agriculture Tropicale
IMF	Micro Finances Institution	
INDC	Intended Nationally Determined Contribution	Contribution Prévue Déterminée au niveau National
INERA-Mulungu	Environment and Agricultural Research Institute	Institut National d'Études et de Recherche Agronomique
IPAPEL	Provincial Inspection of Agriculture, Fisheries and Livestock Husbandry	Inspection Provinciale de l'Agriculture, la Pêche et l'Élevage
IPCC	Intergovernmental Panel on Climate Change	
IPDR	Provincial Inspection of Rural Development	Inspection Provinciale de Développement Rural

ISEAV Mushweshwe	Superior Institute for Agriculture and Veterinary Studies	Institut Supérieur d'Etudes Agronomiques et Vétérinaires
JAPFS	Junior Agro-pastoral Field School	
JFFS	Junior Farmer Field School	
KBNP	Kahuzi-Biega National Park	Parc National de Kahuzi-Biega
KfW	Kreditanstalt für Wiederaufbau	
LADA	Land Degradation Assessment in Drylands	
LCD	Louvain Cooperation for Development	
LD	Land Degradation	
LDC	Local Development Committee	Comité de Développement Local
LTMC	Local Technical Monitoring Committee	Comité Technique Local de Suivi
LTO	FAO Lead Technical Officer	
MATUH	Ministry of Land Use, Urbanism and Habitat	Ministère de l'Aménagement du Territoire, l'Urbanisme et l'Habitat
MEDD	Ministry of Environment, Nature Conservation and Sustainable Development	
MINAGRIPEL	Ministry of Agriculture, Fisheries and Livestock Husbandry	Ministère de l'Agriculture, la Pêche et l'Élevage
NBSAP	National Biodiversity Strategy and Action Plan for Biodiversity	
NGO	Non-Governmental Organisation	
NPC	National Project Coordinator	
NSCB	National Strategy for Biodiversity Conservation	
NWFP	Non-Wood Forest Products	
OSFAC	Central African Satellite Forest Observatory	Observatoire Satellital des Forêts d'Afrique Centrale
PADECO	Promotion and Support of Community Development	Promotion et Appui au Développement Communautaire
PAFT	Action Plan for Tropical Forests	Plan d'Action Forestier Tropical
PAN-LCD	National Action Programme against Land Degradation and Deforestation	Programme d'Action National de Lutte contre la Dégradation des Terres et la Déforestation
PBF	Biodiversity and Forests Programme	Programme Biodiversité et Forêts
PIDP	Indigenous People Development Programme	Programme de Développement du Peuple Pygmée
PMMHE	Provincial Ministry of Mines, Hydrocarbons and Environment	Ministère Provincial en charge de l'Environnement, des Hydrocarbures et des Mines
PMU	Project Management Unit	
PNAE	National Action Plan for Environment	Programme National d'Action Environnementale
PNEFEB2	Second National Programme for Environment, Forests, Water and Biodiversity	Deuxième Programme National Environnement, Forêts, Eau et Biodiversité
PNIA	National Plan for Agricultural Investment	Plan National D'investissement Agricole
PNSA	National Programme for Food Security	Programme National de Sécurité Alimentaire
PPG	Project Preparation Grant	
PSC	Project Steering Committee	
REDD+	Reducing emissions from deforestation and forest degradation	Réduction des émissions issues de la déforestation et de la dégradation forestière
REFAMP	Network for African Women working in Ministries and Parliaments	Réseau des Femmes Africaines Ministres et Parlementaires
REFEC	Network for Women working in Congolese Enterprises	Réseau des Femmes des Entreprises du Congo
RIFFEAC	African Forest and Environment Training Network	Réseau des Institutions de Formation Forestière et Environnementale de l'Afrique Centrale
SCoCo	National Strategy for Community-based Conservation	Stratégie Nationale sur la Conservation Communautaire
SDG	Sustainable Development Goal	
SENASEM	National Service for Agricultural Inputs	Service National des Semences
SFM	Sustainable Forest Management	
SNCB-AP	National Strategy for Biodiversity Conservation in DRC Protected Areas	Stratégie Nationale de Conservation de la Biodiversité dans les Aires Protégées de la RDC
UEA	Evangelical University of Africa	Université Evangélique en Afrique
UGADEC	Union of Gorilla Conservation Associations for Community Development in Eastern DRC	Union des Associations de Conservation des Gorilles pour le Developpement Communautaire à l'Est de la RDC
UNDP	United Nation Development Programme	

UNESCO	United Nations Educational, Scientific and Cultural Organization	
UOB	Official University of Bukavu	Université Officielle de Bukavu
USAID	United States Agency for International Development	
WCS	Wildlife Conservation Society	
WWF	World Wildlife Fund for Nature	

SECTION 1 – PROJECT RATIONALE

1.1 OVERVIEW OF THE PROJECT CONTEXT

1.1.1. Project context

Physical context

1. DRC is the second largest country in Africa with a surface of 2,3 million km^2. It is also the second tropical forest country in the world. It has a surface of 234 million ha that includes 150 million ha of forest among which ~100 million are tropical, humid forests[2]. DRC tropical, humid forests represent 60% of the Congo basin forests, 47% of tropical African forests and 10% of worldwide tropical humid forest (Figure 1). Because of its diversity of natural habitats, DRC has the highest rate of biodiversity of mammals and birds in Africa, and has the third highest flora diversity, after Madagascar and South Africa[3]. It is a megadiverse country which is home to 352 species of reptiles, 216 amphibians, 1086 birds, 421 mammals, 5220 butterflies, 1596 aquatic invertebrates, 544 terrestrial invertebrates, more than 1000 fish species and ~10,500 plant species. As an example, a great diversity of primate species lives in these forests including two endemic subspecies: *Gorilla gorilla graueri* and *Cercopithecus hamlyni kahuziensis*.

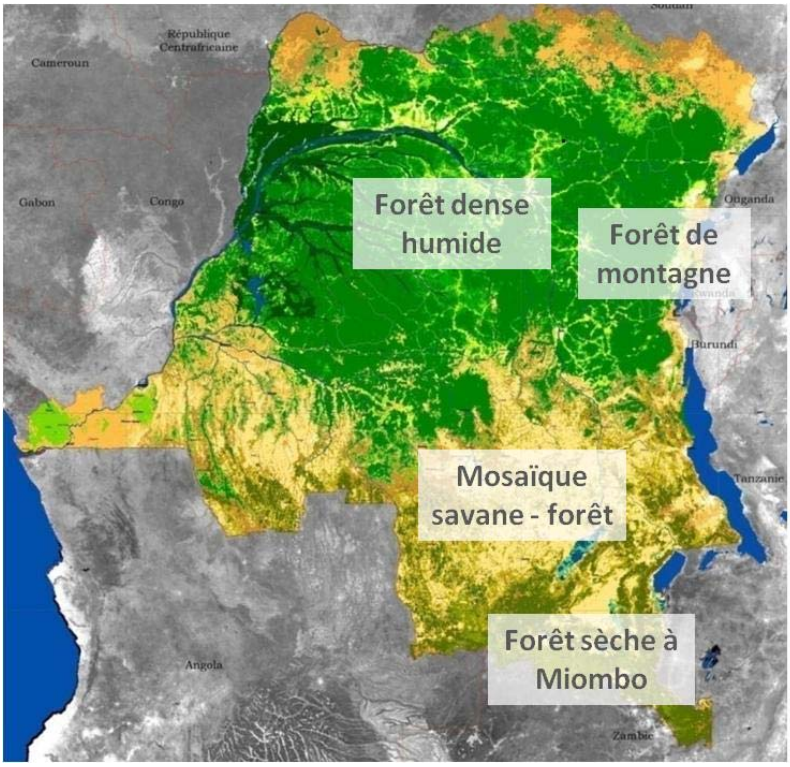

Figure 1. Main forest ecosystems in DRC (Source: Catholic University of Louvain)

[2] Direction des Inventaires et Aménagements Forestiers (DIAF), 2015. Cas d'opportunités de restauration des paysages forestiers en RDC – Présentation de la carte. MECN-DD.

[3] Debroux & al., 2007. La forêt en République Démocratique du Congo Post-conflit : Analyse d'un Agenda Prioritaire. CIFOR, Jakarta, Indonésie.

2. The network of protected areas covers 13.3% of the country (i.e. 312,139 km^2)[4]. Among the seven protected areas of this network, four are classified as UNESCO world heritage sites: Salonga, Virunga, Kahuzi-Biega and Garamba. 57 hunting reserves, 3 biosphere reserves and 117 forest reserves are also found in DRC. Despite this network, several populations of charismatic species have gone extinct (e.g. white rhino *Ceratotherium simum* in Garamba National Park[5]) or are severely declining (e.g. forest elephants *Loxodonta cyclotis*, Nile hippos *Hippopotamus amphibius*)[6].

3. DRC's forests have a major role in climate regulation. They are responsible for the sequestration of 140 Gt of CO_2 per year, which corresponds to three years of total CO_2 production worldwide. However, the highest rate of deforestation of humid forests among central African countries is also found in DRC[7] (i.e. ~0.20% per year between 2000 and 2010). Based on the latest estimates of deforestation rate undertaken in 2011, the deforestation rate varies from 0.3 to 3.5% within the forested areas[8]. A total of ~400,000 ha are deforested every year.

4. The remaining 80 million ha in DRC that are not covered by forest are considered suitable for agricultural activities[9], which makes it the second country with the highest agricultural capacity after Brazil. Among these 80 million ha only 10% are currently used for agricultural activities, including 7% for livestock husbandry and 3% to grow crops. Furthermore, the productivity of these exploited agricultural areas is low because of *inter alia* overexploitation of soil resources and inadequate agricultural practices.

5. DRC is divided into 26 provinces. South-Kivu was selected as the pilot province for the TRI child project because it has a high population density, natural resources are severely depleted, and it encompasses buffer areas of the KBNP. It is located in the Eastern part of the country and has a surface of ~64,000 km^2 which corresponds to 2.7% of the country. It is mainly mountainous. ~67% of the province is covered by forests, which equal 3% of the national forests (DIAF 2015). Each hectare of forest in South-Kivu stocks 75 to 235 Tonnes of CO_2 per year[10]. The two protected areas found in South-Kivu are KBNP and Itombwe Natural Reserve. 1,632 plant species, 149 mammals – including endangered species such as the Grauer gorilla (*Gorilla beringei graueri*), forest elephants (*Loxodonta cyclotis*) and Eastern chimpanzees (*Pan troglodytes schweinfurthii*) – 44 reptiles, 30 amphibians, and 336 birds – including 42 endemic species – are found in KBNP[11]. South-Kivu is however the sixth most deforested and degraded province of DRC. Between 1990 and 2010, the deforestation rate in this province has been 0.38% per year, which corresponds to ~16,500 ha lost every year[12].

[4] MEDD, 2016. Stratégie et plan d'action nationaux de la biodiversité (2016-2020). Kinshasa, RDC. 91p.
[5] http://www.iucnredlist.org/details/4185/0
[6] USAID DRC Office, 2010. Democratic Republic of Congo: Biodiversity and Tropical Forestry Assessment (118/119)
[7] COMIFAC&PFBC, 2013. Les Forêts du Bassin du Congo – État des Forêts 2013 p34
[8] OSFAC, 2011. Carte de stock de carbone menacé de RDC.
[9] MEDD, 2004. Programme d'Action National de lutte contre la désertification. Kinshasa. P. 6 – 7
[10] OSFAC, 2011. Carte de stock de carbone menacé de RDC.
[11] WCS, 2016. Fiche technique du PNKB
[12] DIAF, 2015. Cas d'opportunités de restauration des paysages forestiers en RDC – Présentation de la carte. MECN-DD.

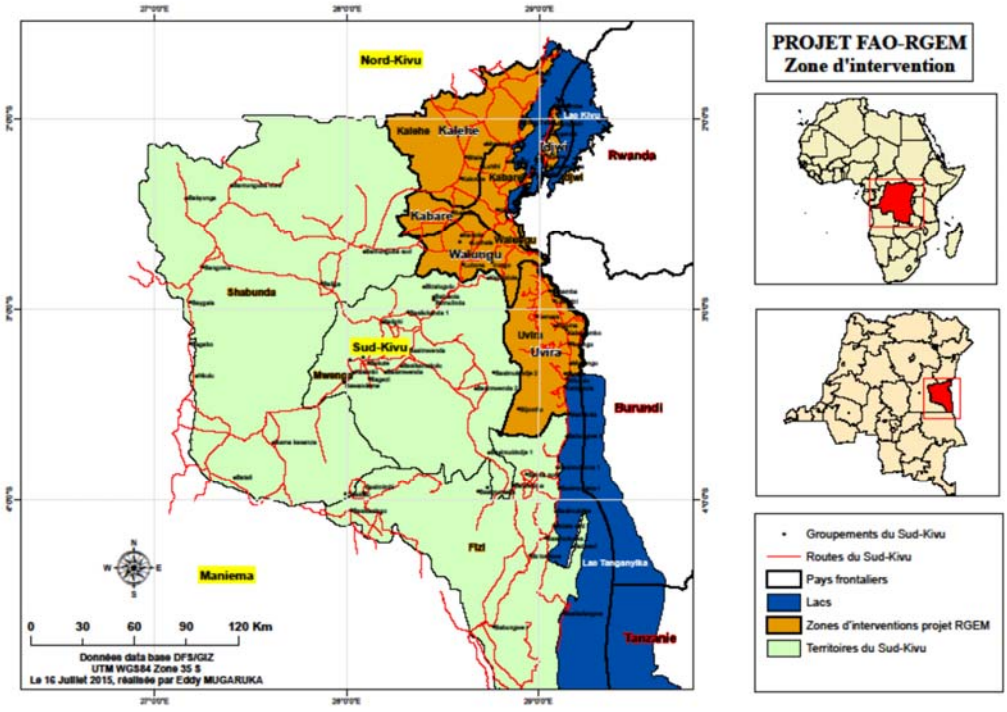

Figure 2. Location of South-Kivu in DRC.

6. The East of the South-Kivu Province shares borders with Rwanda, Burundi and Tanzania (Figure 2). It is also bordered by North-Kivu Province in the North, Haut Katanga in the South and Maniema in the East.

7. South-Kivu is divided into eight territories (i.e. Uvira, Walungu, Kabaré, Fizi, Kalehe, Mwenga, Shabunda and Idjwi), 27 sectors or chiefdoms, 185 grouping and 2,428 villages.

8. The land in South-Kivu is very degraded because of slash-and-burn agriculture, overgrazing, bushfires, forest exploitation for fuelwood, and land clearing for urbanisation. This results in soil exposure to erosion, landslides and rock falls. Land degradation is particularly severe in the territories of Kabaré and Walungu that face high demographic pressure due to their proximity to Bukavu. Their mountainous relief also make them particularly prone to erosion. Forests in particular are found throughout these territories but have become very fragmented. Strong anthropogenic pressure has led to severe forest degradation. For example, the presence of refugees from Rwanda and Burundi since 1994 has led to uncontrolled deforestation for fuelwood, and transformation of forest, pastoral and agricultural land into camps resulting in the degradation of these resources. Nowadays, forest exploitation is mainly undertaken manually. There is no industrial exploitation in the province. Agricultural activities and population density have been identified by the civil society as the major causes of deforestation and forest degradation.

Climate context

9. Despite being in the equatorial zone, the average annual temperatures in South-Kivu are below 20°C for most of its territories: 19°C in Bukavu, 16°C in Kabaré and 10°C in Mont Kahuzi. Uvira and Shabunda are the warmest territories of the province with an average annual temperature of 25°C. The TRI child project will focus on the eastern part of the province that has mainly a humid tropical climate.

Between 2011 and 2015, the annual precipitations have been approximately 1,211 mm[13] in the province with the highest precipitations recorded in November, December and January (i.e. ~177 mm per month). The dry season in the province starts in June and finishes in September. The rest of the year corresponds to the rainy season.

10. Based on the Second National Communication (2009) to the UNFCCC, precipitations will increase by 0.3 to 7.5% by 2050, and between 0.8 and 11.4% by 2100. Temperatures are expected to increase by 1.72 to 2.08°C by 2050, and between 2.69 and 3.22°C by 2100. There are no recent climate projections at the national scale. The most recent prediction was made at the regional scale in 2015 for the Congo Basin[14]. Based on this assessment, the temperature will increase by 1.5 to 6°C. The results for precipitations are less clear with changes ranging from a decrease by 10% to an increase by 30%. It also seems that the number of dry periods during the rainy season will increase. The rainfall patterns through the year will therefore be significantly disturbed with sporadic rainfall. Extreme climate events are expected to be more frequent. Similar conclusions are reached by the World Bank based on the data from the Intergovernmental Panel on Climate Change (IPCC) fifth Assessment Report[15].

11. Throughout South-Kivu Province, the effects of climate change are visible. According to local communities consultations in the targeted chiefdoms during project preparation, the changes in climate include an increase in temperature and a decrease in annual rainfall. The duration of dry seasons is increasing and floods induced by intense rainfall are more frequent. These floods lead to landslides and rock falls. These changes have the following effects: reduction in agricultural production because of soil degradation, loss of biodiversity, and depletion of pastoral resources. Future climate scenarios are expected to further reduce agricultural productivity because of erosion and floods caused by an increased occurrence of intense rains. More frequent dry spells will also reduce productivity.

Social context

12. Despite the country's richness in natural resources, there is a high level of poverty within rural communities. The population in DRC has increased from 29,000,000 people in 1980 to 60,200,000 people in 2006 and is expected to further increase to 120,304,000 people by 2030[16]. South-Kivu is one of the provinces with the highest population density in DRC. In 2015, the size of the population in South-Kivu was estimated to be 6,500,000 people[17] with a population density of 99.5 people/km^2. The highest population densities are found in the territories of Kalehe (i.e. 928,888 people), Bukavu city (i.e. 876,917 people), Walungu (i.e. 865,257 people) and Kabaré (i.e. 784,387 people). In this province, poverty affects 80% of the households and the unemployment rate is higher than the national average. 54% of rural households are food insecure[18].

13. Currently, local communities get very little benefits from the management of natural resources. Few income-generating activities based on the sustainable use of natural resources exist. The low capacity of the government to clarify land-use and enforce land-use plans is detrimental to the local communities bordering protected areas in particular.

14. Multiple ethnic groups live in South-Kivu. The main ethnic groups and the territories where they live are the following: the Bashis in Walungu, Kabaré, Kalehe and Mwenga; the Baregas (or Legas) in Mwenga, Shabunda and Fizi; the Bahavus in Kalehe and Idjwi; the Baviras, Bafuliros and Barundis in Uvira; the Babembes in Fizi; the Banyindus in Walungu and Mwenga; the Banyamulenges in Fizi and Mwenga

[13] INERA-Mulungu
[14] Third National Communication, 2015.
[15] http://sdwebx.worldbank.org/climateportal/index.cfm?page=country_future_climate&ThisRegion=Africa&ThisCcode=COD
[16] United Nations, 2015. World Population Prospects : Key findings and advance tables.
[17] Direction Provinciale de l'Institut National de Statistiques du Sud-Kivu (INS/SK), 2015
[18] World Food Programme, 2014. Analyse approfondie de la sécurité alimentaire et de la vulnérabilité en RDC. Rome/Italie. P. 12. (http://documents.wfp.org/stellent/groups/public/documents/ena/wfp266330.pdf, consulté le 29 mars 2017).

(Itombwe); and the Batwas (i.e. Pygmies) in Kalehe, Idjwi and Kabaré. Some communities are mixed and live in peace. Some groups are fighting each other. Civil unrest has affected the region for the last 15 years.

15. Gender-based violence has been a defining feature of the complex armed conflict in the Democratic Republic of the Congo. Women continue to be victims of all kinds of gender-based violence including sexual abuse, sexual slavery and rape. Data on the prevalence of violence against women and girls is often lacking due to the general fear of reporting. This is especially true for women and girls with disabilities, ethnic minorities, migrant workers and older women. In 2007 OCHA reported that an estimate of 40 women were raped every day in South-Kivu. Based on a report issued in 2010 by the Harvard Humanitarian Initiative and Oxfam, 60% of rape victims in South Kivu were gang raped by armed men, more than half of the assaults took place in the victims' homes and an increasing number of attacks were being carried out by civilians.[19]
16.

Political context

17. South-Kivu has been under political instability for several decades, which has been aggravated by the arrival of refugees from Rwanda in 1994. A succession of conflicts (e.g. war of the Democratic Force Alliance for the liberation of Congo[20] in 1998, war of the Congolese Rally for Democracy[21] between 1998 and 2003) have maintained a precarious political situation. Conflicts are still happening today between the DRC's Military Forces[22], the Self-defence Groups of the Indigenous Population[23] known as Maï-Maï, and the Democratic Forces for the Liberation of Rwanda[24] settled in the province for over 20 years. As a result, insecurity is spread throughout the province.

18. The government has recently showed its willingness to restore degraded ecosystems and improve the management of forest ecosystems including through the development of renewable energy, and the sustainable production of wood for fuel and building. By 2030, forest cover should be stabilised to 65.2% of the country, CO_2 emissions should be reduced by 17% according to the Intended Nationally Determined Contribution (INDC), and CO_2 emissions induced by forest degradation and deforestation will be reduced by 31%[25]. However, the absence of a National Forest policy hinders the sustainable management of forest resources and gives scope for further degradation.

19. The provincial government does not have sufficient institutional, technical and financial capacity for sustainable management of the environment through enforcing the existing laws at the borders of protected areas.

20. Each territory is divided into sectors or chiefdoms, which are divided into groupings. The last division scale is the village. Each sector or chiefdom is led by a chief commonly called Mwami. Within sectors, the succession between Chiefs is from father to son. Within chiefdoms, the Chiefs are sometimes elected, but mostly nominated. The authority of the Mwami is often more respected than politico-administrative authorities and can generally make decisions independently from the government.

21. The land belongs to the Mwami that allocates parts of it to members of his clan through various systems. The first type of contract is the Bwasa. It is a renewable, short-term rental contract. It is usually

19 HHI and Oxfam International, 2010. Now, The World Is Without Me: An Investigation of Sexual Violence in eastern Democratic Republic of Congo, https://hhi.harvard.edu/publications/now-world-without-me-investigation-sexual-violence-eastern-democratic-republic-congo

20 Guerreguerre de l'Alliance des Forces Démocratiques pour la Libération du Congo

21 Guerreguerre du Rassemblement Congolais pour la Démocratie

22 Forces Armées de la République Démocratique du Congo

23 Groupes d'Autodéfense de la Population Autochtone (Maï-Maï)

24 Forces Démocratiques de Libération du Rwanda

25 MEDD, 2015. CPDN de la RDC. Kinshasa

paid with goats instead of money. The second type of contract is named Kalinzi. It is similar to the Bwasa except that it is a long-term contract and is paid with cows. Last, the Bugule corresponds to the modern contract of sale. Because the first two types of contract are on the short-term, they create a precarious situation where the tenant does not have any incentive to exploit sustainably and invest in improved practices. For example, the tenant does not invest in erosion-control interventions or soil amendment systems. On the other hand, under Bugule contracts, the new owner has all rights on his land and it is permanent.

Economic context

22. The main economic activities in South-Kivu are: i) agriculture, livestock husbandry and fisheries; ii) mining; iii) trading; iv) industry; v) energy; and vi) tourism. Based on estimations from 2014, the primary and the tertiary sectors represent respectively 69.6% and 18.9% of the economic activity of the province.

23. Agriculture is the main livelihood for 80% of the population in rural areas. The main subsistence crops are manioc, beans, banana, sweet potato and vegetables. Some industrial crops are also grown including quinine, coffee, sugar cane and tea. Except for PHARMAKINA, a couple of tea plantations and some Non-Governmental Organisations (NGOs), modern farms are rare. Most of the exploitations are family based, however the land belongs to the Mwami. Agricultural techniques are manual and traditional, often undertaken on hillsides and anarchically. Improved crop varieties are rarely used. Slash-and-burn practices are commonly used to clear land for cultivation. This results in a high level of carbon emission and soil degradation.

24. There are three main types of livestock husbandry in rural areas: i) extensive, individual farming where the shepherd has one to three cows that graze around his house; ii) extensive, collective farming where shepherds – who have more than 8 cows each – organise themselves into groups and hire a herdsman; and iii) semi-intensive livestock husbandry where the farmer uses some shelter and storage infrastructure. Animal products are mainly for local consumption except for skins that are often exported.

25. Fish is a major source of protein for the inhabitants of the province. The main source of fish is Kivu Lake. Traditional fishing methods are used. However, some aquaculture activities are slowly emerging since 2014 with the support of the National Service for Aquaculture and NGOs.

26. South-Kivu has multiple mining resources – gold, cassiterite, coltan and wolfram – which represent good economic opportunities. However, since the bankruptcy of SOMINKI while they were initiating the exploitation phase, the contribution of mining to socio-economic development is very limited. Indeed, the two new companies (i.e. BANRO and SAKIMA) are still in their exploration phase and do not yet contribute significantly to socio-economic development through the payment of taxes. Mining resources are currently exploited informally by small-scale miners and the sector is not controlled adequately. Therefore, despite the existence of the mining code, of mining companies and of buying houses, the contribution of the mining sector to the regional economy is low.

27. The tertiary sector is not well organised. The infrastructure available for transportation and marketing is very limited. Prices are determined by the buyers and the benefits earned by small producers are very low. The transboundary market with Rwanda and Burundi is intense and poorly regulated.

28. Energy production in South-Kivu does not meet the demand of the population in the three main cities. It actually only produce ~25% of the needs. In addition, the network for energy transportation is degraded. As a result, power cuts are frequent and some new neighbourhoods of Bukavu, Goma and Uvira have no electricity. In rural areas, there is currently no system providing public electricity. The communities rely on fuelwood. However, there is a good potential for the development of hydroelectric energy. Two power stations are currently functioning on the Ruzizi River.

29. South-Kivu has a high potential for the development of tourism considering the numerous tourist sites in the province (e.g. KBNP, Itombwe Nature Reserve, high plateau's hot springs, Tanganika and Kivu lakes, Kamwanaga water falls). These sites are well preserved but they are poorly known by local communities and have little infrastructure to host tourists. Insecurity in the province is also a limiting factor to develop significantly this sector.

30. Because of the political and institutional situation, the country is not well positioned to attract foreign investments despite its richness in natural resources. Indeed, based on the *Doing business* index of the World Bank – which measures business regulations and their enforcement across 190 economies according to 10 sets of indicators – DRC in classified 184 out of 190 countries for investments[26].

Institutional context

31. Most of the institutions face a shortage in human capacity. For example, there are 177 agriculture technical experts in South-Kivu, which corresponds to 1 per every 5,115 agricultural households. However, according to the National Extension System[27], there should be one technical staff for 400 to 600 agricultural households.

32. The multiple international conventions ratified by DRC have led to the development of policy documents to support the achievement of the objectives defined in these conventions (see Section 1.5) including forest conservation, biodiversity conversation and climate change mitigation. Most of them encourage directly or indirectly the restoration of degraded areas. The main policy documents and the content that relate to the present project are presented in Table 1.

Table 1. Summary of the sections of laws and legal frameworks related to ecosystem restoration and sustainable management of natural resources

Legal frameworks	Content related to ecosystem restoration
Environment Law (2011)	This Law proposes the creation of an Environment Intervention Fund for environment research, biodiversity conservation, sanitation interventions, and pollution control and environment rehabilitation (Article 25). However, this Fund has never been operationalized and capitalized. It forbids any activity likely to foster erosion problems or other types of soil degradation (Article 50). It encourages using the soil in a sustainable way to maintain productivity in the long term through the use of appropriate techniques including fertilizers (Article 51).
Forestry Code (2002)	According to this code, forests are the property of the government. Their exploitation and use by private or public entities are ruled by this Code. Both forest and water resources are public properties (Article 10). Forests fall into three categories: i) classified forests; ii) protected forests; and iii) forests for permanent production. The last two categories are under less restrictive usage and exploitation rules than classified forests. They belong to the private forestry domain of the state and can be allocated. Local community can therefore make the demand to obtain a forest concession within a protected forest (Article 22). The rights to use these resources are based on traditional rights for local communities living within or close to the forest. These communities are allowed to use forest resources to meet their own or collective needs. The extent of the utilisation rights varies based on the type of forest and the status of the beneficiary (Article 36). All activities leading to forest degradation or destruction including *inter alia* illegal exploitation, overexploitation, fires and overgrazing are forbidden. Deforestation is

[26] http://www.doingbusiness.org/data/exploreeconomies/congo-dem-rep (consulted on 18 September 2017)
[27] Ministère de l'Agriculture/SNV, Politique National de Vulgarisation, 1990.

	also prohibited in areas exposed to erosion and flood risk (Article 45). However, the principle of compensating for deforestation interventions by reforesting an area of equivalent size and quality is proposed in Article 52. Regarding mining, the Forestry Code stipulates that anyone involved in deforestation activities for mining, industrial, urban, tourism or other purposes has to obtain a deforestation permit. This code also includes the creation of a National Forest Fund for the implementation and monitoring of reforestation and land management interventions. The sources of funding are the benefits from deforestation taxes and other forestry taxes. This fund was then established by the decree n°129/24 in 2009. Based on Article 40 of this decree, a provincial fund should also be created, which was accomplished in South-Kivu in 2016 (see Section 1.2). According to Article 77, forest restoration is under the mandate of the government institution in charge of forests who is responsible for the development and implementation of reforestation and natural regeneration programmes. However, the participation of decentralised authorities, forest users, concession owners and local communities is also encouraged (Article 78 and 79). The development of a Forest Policy Document defining the objectives of the country regarding forest governance and its application plan is the responsibility of the government through the relevant ministry (Article 4).
Decree defining the conditions for access to forest concessions by local communities (2014)	This decree was developed for the application of the Forestry Code. Under this decree, 50,000 ha of forest concessions should be attributed to local communities to promote rural development through the sustainable management of forest resources. The Order 025 (2016) defines the management and exploitation processes for forest concessions owned by local communities, including guidance on how to manage these concessions, the specific objectives of community forests and the activities that are allowed and forbidden. This order enables local communities to obtain the rights to manage forests that are privately owned by the state. It recognizes the importance of community forests as a mean to generate sustainable income for forest users and prevent deforestation and forest degradation.
Ministry Order n°026/CAB/Min/ECN-T/15/JEB/2008 defining the conditions for the suspension, monitoring and evaluation of interventions for the reconstitution of forest capital	The reconstitution of the forest capital consists in "re-establishing forest cover through afforestation or reforestation interventions and/or natural regeneration" (Article 2). Technical supervision, and monitoring and evaluation of afforestation and reforestation interventions are the responsibility of the government institution in charge of forests. This supervision should include support to define the objectives of the interventions, select and delineate the reforestation area, choose the species to be planted based on the objectives, implement and maintain nurseries, and plant and maintain the forest plots (Article 3). The M&E role consists in ensuring compliance to technical and environmental norms in forestry and agroforestry, monitoring the implementation of national and provincial reforestation programmes, and monitoring and maintaining the reforestation interventions (Article 4). The costs of these monitoring services are defined by the ministry in charge of forests and the ministry in charge of finances, and have to be covered by the forest loggers and concession holders. NGOs can obtain a specific mandate from the government institution in charge of forests to ensure the technical supervision of reforestation interventions undertaken by local communities (Article 9).
Law for Nature Conservation (2014)	This law is aligned with the National Biodiversity Strategy and Action Plan for Biodiversity (NBSAP) and the National Strategy for Biodiversity Conservation (NSBC). It defines regulations regarding the management of biological and genetic resources, traditional knowledge and protected areas based on the ratified international conventions (e.g. treaty for the conservation and sustainable management of Central African forest ecosystems, Convention for Biological Diversity (CBD), Convention for the Protection of the World Cultural and Natural Heritage, RAMSAR Convention on wetlands, Convention on International Trade in Endangered Species of Wild Fauna and Flora). This law promotes the conservation of ecosystems and natural habitats, the

	protection of fauna and flora species, and sustainable development in protected areas. It attributes the responsibility to develop plans, management strategies and other tools to restore degraded ecosystems and enable the recovery of threatened species by the central, provincial and territorial government authorities (Articles 7 and 11).
Law defining the basic principles for agriculture (2011)	Based on this law, an agricultural code should be elaborated, adopted and implemented to increase the value of the national territory. Additionally, the land-ownership law should be updated to secure investments and ensure the rational exploitation of natural resources. The agricultural code has not been developed yet. However, the land-ownership law is being initiated as part of the Reducing Emissions from Deforestation and forest Degradation (REDD+) process. The Law defining the basic principles for agriculture (2011) also states that environment and productive potential should be protected to secure production capacity and enable sustainable development for future generations. This law provides a framework to guide the revival and development of the agricultural sector in rural areas, which is crucial to economic growth in DRC. However, a national agricultural policy is needed to provide guidance on training, research, production, marketing, infrastructure development, and sustainable use of genetic resources among others (Article 6).
Law defining the general regime for goods, and regimes for land-tenure, property and security on property (1980)	This law recognizes the right of local communities to benefit collectively from the land they occupy (Article 388). As a result of this right, local communities can live on, cultivate and exploit the land according to their tradition and local customs. However, it is necessary to distinguish between permanent or ordinary concessions, and land-ownership rights of local communities. For permanent or ordinary concessions, the beneficiary's ownership and usage rights are secured by a certificate of registration. This certificate can only be cancelled by a judge in case of conflicts. Regarding the traditional land-ownership rights of local communities, it is prohibited to allocate concessions or exploitation rights on rural land occupied by local communities without consultation or participation of local communities.
Mining Code (2002)	The Mining Code states that the holder of a research permit has to prepare and submit a Mitigation and Rehabilitation Plan, and can only start working in the field after obtaining validation of this plan by the Directorate for Mining Environment Protection[28] (DPEM) and the National and Provincial Mining Land Register. The rehabilitation of the mining site is therefore mandatory. The ministry of mining is in charge of enforcing the Mining Code. Within this ministry, the DPEM, the Directorate of Geology and the Mining Land Register are in charge of ensuring the implementation of the Mitigation and Rehabilitation Plan. As previously mentioned, the Forestry Code also includes regulations related to mining issues.
Urbanism Decree (1957)	There is no land-use law in DRC and no national or provincial land-use plan. The leading document is the Urbanism Decree that defines land-use based on the development objectives of the colonial period. It is therefore outdated and not relevant under the current context in the country. A Land-Use Reform was developed in 2015 to promote the development of a political strategy, a specific policy framework, and national and provincial land-use plans. To initiate the enforcement of this reform, the Ministry of Land-Use, Urbanism and Habitat[29] (MATUH) organises – with the support of the United Nations Development Programme (UNDP) and the United States Agency for International Development (USAID) – sectoral meetings to identify the needs for the development of a fair and realistic National Land-Use Policy that will regulate the use of land and resources in DRC. To date, strategic objectives have been defined and a road map was developed as first steps towards the development of the National Land-Use Policy.

[28] Direction de le Protection de l'Environnement Minier

[29] Ministère d'Aménagement du Territoire, Urbanisme et Habitat

33. The policy and financial tools for implementing these legal frameworks such as the Environment Law and Forestry Code have never been created at the national or the provincial levels because of a shortage in government budget and political instability that prevents the prioritisation of environment issues on the political agenda. As an example, to date, the country does not have a National Forest Policy in place or an operational Environment Intervention Fund.

34. The legal frameworks presented in Table 1 all promote environment protection. However, some conflicting land uses are happening on the ground. Examples of such conflicts include mining concessions encroachment on protected areas, industrial agricultural concessions encroachment on forest land, and local communities – including indigenous communities – encroachment on protected areas for small-scale agriculture, livestock husbandry or bush meat hunting (e.g. in KBNP).

1.1.2 Selected sites and site selection process

Selection of the territories to be targeted by the TRI child project:

35. Out of the eight territories of South-Kivu, the territories of Kabaré, Walungu and Kalehe have been selected for further investigation because: i) they are the three territories surrounding Bukavu city and are therefore under strong demographic pressure (i.e. together with Bukavu City, these four territories have the highest population densities of the province); and ii) KBNP and its buffer zone – which are targeted by the project – are distributed over 5 territories including Kabaré, Kalehe and Walungu.

36. A set of criteria was defined during the project preparation phase based on key restoration objectives and national/provincial priorities. These criteria are presented in Table 2.

Table 2. Criteria and weights for the selection of the targeted territories for the TRI child project.

N°	Criteria	Weights
1	Proximity to national parks and importance for biodiversity preservation	**12**
2	Communities vulnerability (i.e. poverty, exposure to climate change, adaptive capacity) including the presence of women-headed households and indigenous communities	**10**
3	Level of ecosystem degradation	**10**
4	Willingness of local communities to take ownership of the project	**10**
5	Presence of other on-going interventions	**8**
6	Potential to have a significant and sustainable impact on the causes of ecosystem degradation	**8**
7	Access to the territory	**7**
8	Limited conflicts over land use (conflicts that can be addressed at least partially by the project)	**7**
9	Presence of a discussion platform for conflict solving	**7**
10	Availability of data on the baseline situation	**6**
11	Landscape diversity for the implementation of a package of interventions in the demonstration site	**5**
12	Suitability as a demonstration site and potential to replicate the interventions in similar sites	**5**
13	Availability of laws and regulations that support the interventions	**5**
TOTAL		**100**

Based on these criteria, the following evaluation table was built by the Project Preparation Grant (PPG) team.

Table 3. Evaluation table for the selection of the targeted territories for the TRI child project

Criteria	**1**	**2**	**3**	**4**	**5**	**6**	**7**	**8**	**9**	**10**	**11**	**12**	**13**	**TOTAL /100**
Weight/maxima	**12**	**10**	**10**	**10**	**8**	**8**	**7**	**7**	**7**	**6**	**5**	**5**	**5**	**100**
Walungu Territory	8	8	10	10	7	8	7	7	5	6	5	5	3	**89**

Kabaré Territory	10	8	8	10	7	8	7	5	5	6	4	4	3	**85**
Kalehe Territory	12	10	6	10	5	3	5	4	1	3	1	3	3	**66**

37. Based on these results, the territories of Kabaré and Walungu were selected as the two targeted territories of the project.

Selection of the chiefdoms within the selected territories:

38. The availability of communal land or other land-tenure systems suitable for the implementation of the interventions and the accessibility of areas have been identified as priority conditions for the selection of the chiefdoms within the targeted territories (Table 4). Lower weights were attributed to the presence of conflict solving platforms and potential as a demonstration site because good scores were already obtained at the territory level.

Table 4. Criteria and weights for the selection of the targeted chiefdoms for the TRI child project

N°	Criteria	Weights
1	Availability of communal land or other land-management systems suitable for the implementation of the interventions	**30**
2	Access to the chiefdom	**30**
3	Proximity to national parks and importance for biodiversity preservation	**10**
4	Potential to have a significant and sustainable impact on the causes of ecosystem degradation	**10**
5	Limited conflicts over land use (conflicts that can be addressed at least partially by the project)	**10**
6	Presence of a discussion platform for conflict solving	**5**
7	Suitability as a demonstration site and potential to replicate the interventions in similar sites	**5**
TOTAL		**100**

39. Based on these criteria, the following evaluation table was built by the PPG team.

Table 5. Evaluation table for the selection of the targeted chiefdoms for the TRI child project

Criteria		**1**	**2**	**3**	**4**	**5**	**6**	**7**	**TOTAL /100**
Weight/Maxima		**30**	**30**	**10**	**10**	**10**	**5**	**5**	**100**
Territories	**Chiefdoms**								
Kabaré	Kabaré	30	30	10	7	8	5	5	**95**
	Nindja	15	20	5	5	8	5	5	**63**
Walungu	Ngweshe	30	30	7	10	5	5	5	**92**
	Kaziba	10	30	8	5	5	5	5	**68**

40. The chiefdoms of Kabaré and Ngweshe obtained the highest scores of their respective territory mainly because of high availability of suitable land-management systems for the implementation of the project interventions. These two chiefdoms have therefore been selected (Figure 3).

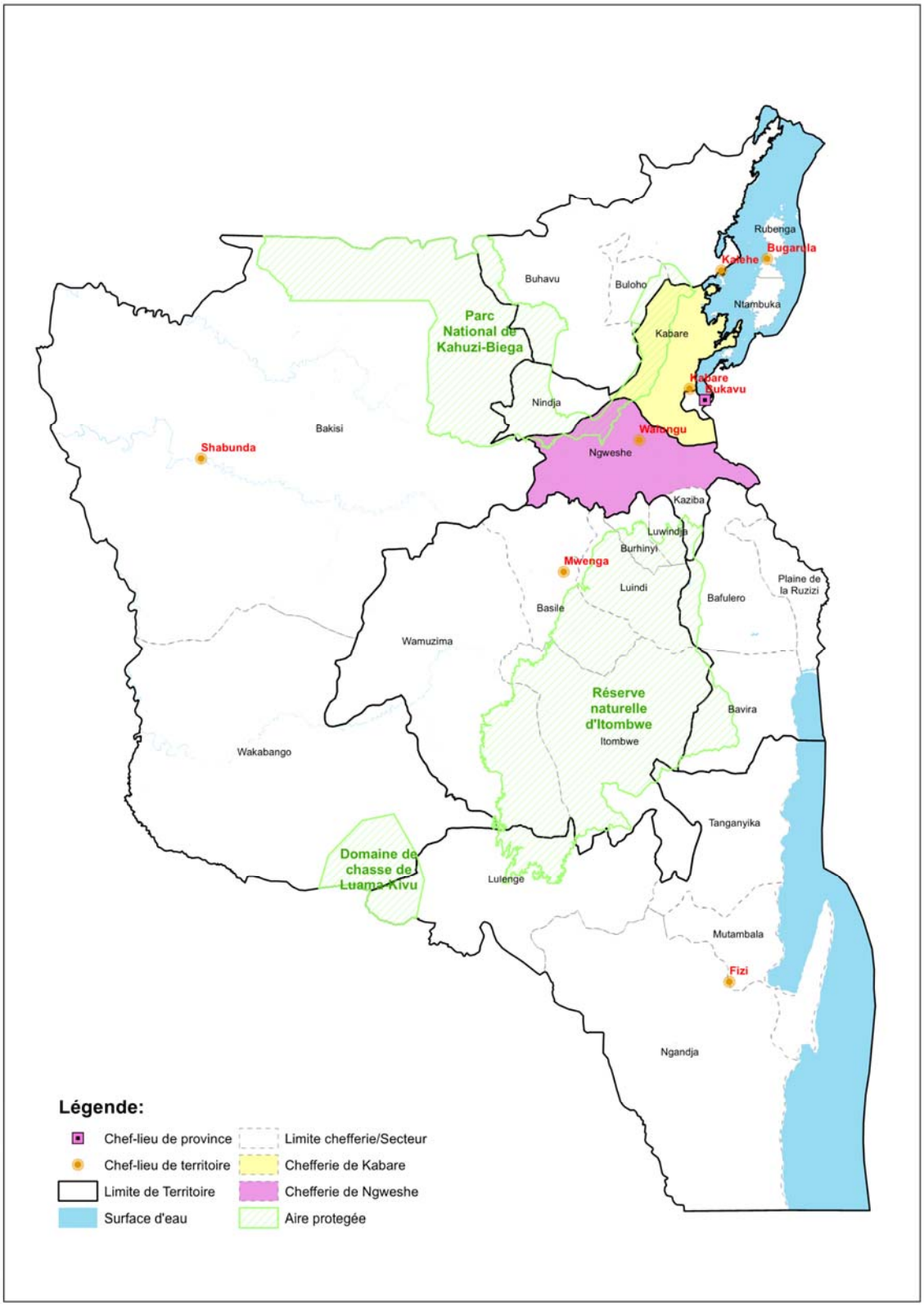

Figure 3. Location of the targeted chiefdoms and protected areas within South-Kivu

Description of the selected territories and chiefdoms:

Presentation of Kabaré Chiefdom within Kabaré Territory:

41. The territory of Kabaré is bordered by Kalehe in the North, Walungu in the South, Lac Kivu in the East and KBNP in the West. The average altitude is 1,500 meters and is dominated by mountains. The highest summits are Kahuzi (3,300 m) and Biega (2,700 m). It has a humid tropical climate where annual rainfalls vary between 1,300 mm and 1,800 mm. The average annual temperature is 19.5°C. Bambous, Eucalyptus and shrubs form the dominant vegetation in the area.

42. Kabaré territory has a population of 784,387 people based on an estimation made in 2015, and is divided into two chiefdoms – namely Kabaré and Nindja – and 17 groupings. Kabaré Chiefdom has a population of 746,428 people with a density of approximately 590 inhabitant/km^2. It is located between Kalehe Territory in the East, Walungu in the South, KBNP in the West and Bukavu city in the East. The altitude in Kabaré Chiefdom ranges from 1,460 m to 3,000 m with an average of 2,230 m. It includes 14 groupings and 79 villages. The temperatures and precipitations vary a lot in the chiefdom as it depends on the altitude. The soil is dominated by sandy-clay soil.

43. The hydrographical network is constituted of three rivers that end in Kivu Lake, which waters are then carried to Lake Tanganyika through Ruzizi River.

44. The history of Kabaré Chiefdom is closely linked to the history of the Bushi, which covered mainly the current chiefdoms of Kabaré and Ngweshe. Bushi is a traditional region and an African ethnic group. Bashi used to designate an inhabitant of the Bushi. Bushi now corresponds to the territories of Kabaré North, Walungu and one part of Mwenga.

45. Kabaré Chiefdom is one of the main administrative entities of South-Kivu. It has two leading structures: one government structure and one traditional structure. The main government actors are: i) the Mwami who is the Chief of the chiefdom and is a descendant of Banyamocha dynasty; ii) Barhambo or persons of note who are the groupings' Chiefs; iii) Bashamuka who are the village or hill Chiefs and iv) Bagula and Bajingi that are the traditional custodians. Succession at each position is generally from father to son. In Kabaré Chiefdom, the Mwami is both the government and the traditional chief. The traditional power is also carried by a group of big chiefs that are subordinates of the Mwami and obtain donations from the Mwami (i.e. feudal system). Big chiefs also have smaller chiefs as subordinates. Mwami and Bashamuka are the owners of the land. A farmer who desires to build a house or practice agriculture must demand access to the land and has to pay the Kalinzi, as well as the Buganda generally paid in beer and chickens to two witnesses of the deal designated by the chief. Based on a socio-economic study, the contract system to access land is 75% Kalinzi (equivalent to long-term rental contracts), 15% Bugule (equivalent to modern sale contracts) and 10% Bwasa (equivalent to short-term rental contracts).

46. Main livelihood activities are agriculture, livestock husbandry, small trading and fishing. Agricultural activities are focused on subsistence crops such as cassava, beans, sweet potato, banana, sorghum, maize, taro and yam. Sugar canes, vegetables (e.g. carrots, tomatoes, brinjals, onions) and fruit trees (e.g. lemon, avocado, mango, papaya, banana) are also cultivated. Traditional techniques are used, with the hoe being the main tool used. Industrial crops include quinine, coffee (i.e. Kakondo factory), tea (i.e. Madaga factory) and soya (i.e. Murhesa) but they are progressively being abandoned because of a bad transportation system and low prices. Since 1980, because of the repeated wars, the agricultural sector has collapsed in Kabaré Chiefdom. For example, during the colonial period, there were six Adaptation and Improved Seed Production Centres[30] (CAPSA) with a surface of 5 to 10 ha in the territory. Only one of these Centres – in Lwami – is still functioning.

[30] Centre d'Adaptation et de Production des Semences Améliorées

47. Among other income-generating activities, small (e.g. goats, sheeps, chickens, rabbits, guinea pigs, pigs) and large (i.e. cows) livestock husbandry are intensive in the chiefdom. The potential for tourism offered by KBNP is hindered by long-lasting civil unrest. Aquaculture (i.e. in the groupings of Mumosho, Mudusa, Kagabi, Bushwira and Bushumba), and apiculture on the edge of KBNP are undertaken at a small scale. In addition, each settlement generally has a night market where women sell products such as cassava flour, fried fish and soap. These small markets for basic goods are called "Limanga" or "Caziganshege"[31]. Other products are sold in these markets such as sugar cane, charcoal, wood, soya, beans and locally-produced banana beer. Beer production is practiced by most of the farmers.

48. Kabaré Chiefdom is crossed by three national roads but they are in a poor state which results in the isolation of the chiefdom. Education structures are degraded and their capacity is insufficient to meet the population needs. Consequently, the level of literacy – particularly among women (see Section 2.3.2) is low. On average, there are eight people per household in the chiefdom, two parents and six children. The majority of the heads of the household stopped their education after primary school or during high school. The absence of schooling is a common situation for children. It is mainly caused by insufficient income. Health infrastructure is also deteriorated and insufficient. Four health centres are present in the chiefdom (i.e. Kabaré, Miti-Murhesa, Katana-Fomulac and Nyantende).

49. A minority of the population has access to electricity. Some people use petrol for lighting. However, the main source of energy of the population is fuelwood to cook and to produce bricks and other products.

50. Food insecurity is widespread in Kabaré Chiefdom, with 4% of the households having three meals per day, 62% having two meals per day, 27% having one meal per day and 2% not eating every day[32]. Meat is consumed less than once a week. The small fish in Kivu Lake is a major source of proteins.

Presentation of Ngweshe Chiefdom within Walungu Territory:

51. Walungu Territory is bordered by Kabaré in the North, Mwenga in the South, Uvira – as well as Ruzizi River, Rwanda and Burundi – in the East, and KBNP in the West. It is mountainous with a cold tropical climate and annual rainfall averaging 1,300 mm. The average temperature is 17°C during the dry season and 20°C during the rainy season. Because of a reduction in land cover, local communities are witnessing irregularity in rainfall patterns[33] including long drought periods as well as short and intense rains. The landscape in Walungu is constituted of mountain channels, hills, and wetlands in the lower land. Main livelihood activities are agriculture and livestock husbandry.

52. Ngweshe Chiefdom is bordered by Kabaré Territory in the North and West, and Mwenga and Shabunda in the South. The Eastern part of the chiefdom is bordered by the territories of Kalahe and Uvira, Rwanda, and Burundi. Ngweshe is divided into 16 groupings and has a population of 806,360 people with a density of approximately 522 inhabitant/km^2. The landscape is mainly hills, plateaus and mountains. The highest summit is Mulume (2,500m). The low land is divided into four wetlands covering ~4,000 ha. Annual rainfall range from 900 to 1,500mm and average annual temperatures vary between 19°C and 23°C. Similarly to Kabaré Chiefdom, the soil is mainly sandy-clay. The government and traditional leading structures are similar to Kabaré Chiefdom. The family unit is particularly important as the main social unit in the chiefdom.

53. In Ngweshe, there are no indigenous communities. As previously mentioned, the traditional region of the Bushi covered mainly the current chiefdoms of Kabaré and Ngweshe. The Bashi are therefore the main ethnic group in Ngweshe, they live throughout the territory. The second main ethnic group is the Regas who live in the South-East of the territory in the grouping of Mulamba. The Bashi are divided into several clans (i.e. Banyamocha, Basheke, Bafoba, Banyamulenge, Bashinjahavu, Banyambala, Barhana

[31] which means "the most important is that I eat"
[32] Murhula M. A. J & al., 2013.
[33] Annual report of the Unit for Analysis of Development Indicators (Cellule d'Analyse des Indicateurs du Dévelopment)

and Barhungu clans) and there is one clan of Rega people (i.e. Banyisuma clan). Contrarily to the Bashi people focused on agriculture, the Rega ethnic groups are living mainly from small-scale mining.

54. The subsistence species cultivated are similar to Kabaré Chiefdom. However, banana is more important in Ngweshe where it covers 70% of the agricultural land. Banana production is severely affected by banana weevil and banana bacterial wilt. Manioc and beans are major in the diet of the whole population. Soya is increasingly cultivated as a mean to address malnutrition problems. The cultivation of creeper plants is also increasing to mitigate the problem of shortage in agricultural land. The industrial cultivation of quinine, coffee and tea as well as palm oil and tobacco are almost totally abandoned because of local insecurity and deterioration of processing infrastructure..

55. The production of subsistence crops in the chiefdom is constantly decreasing and insufficient to meet local needs. No reserves can be constituted. In winter in particular, the majority of the products consumed come from Bukavu city and have been produced in North-Kivu or Rwanda. During this period, most of the households only eat once a day.

56. Livestock husbandry is dominated by chicken and goats production but the number of animals is reducing. Cows remain considered as the main sign of richness of the household but the absence of support for veterinary care has increased mortality rate and reduced the number of cows. Livestock husbandry is mainly individual. Community pastoralism has become rare. As a result, stray animals are leading to conflicts within communities. Livestock husbandry is affected by the systematic intrusion of armed groups coming to steal food as well as by insufficient support from local government and NGOs.

57. The transportation network is constituted of one main road – a dust road – in globally good conditions. The secondary roads however are degraded and cannot be used during the rainy season. This situation affects access to markets. In addition, because of a long-lasting situation of insecurity, the rural communities have continuously been moving to forests or city centres. Their income has mainly been from itinerant trade.

1.2 THE CURRENT SITUATION

1.2.1 Main environmental threats

58. Studies on the current level of degradation of natural resources have been undertaken within the last five years by various partners including inter alia GIZ, Wildlife Conservation Society (WCS), World Wildlife Fund for Nature (WWF) and Universities. These studies focus on understanding better the threats to forests including deforestation for fuelwood and slash-and-burn agriculture, and ways of improvement such as clarifying land-tenure, participatory mapping and selecting appropriate agroforestry species. However, other major challenges to the sustainable management of forest resources are the willingness of government authorities to address deforestation issues, limited institutional capacity, incomplete policy framework and inadequate law enforcement, insufficient dissemination of improved agricultural practices at the local scale, and limited support to local communities. The knowledge on these challenges and how to address them is insufficient. Based on another report from FAOSTAT in 2005, forest degradation in DRC is the result of overgrazing (50%), unsustainable agricultural practices (24%), land-clearing (14%) and others (13%).

59. To summarise, the causes of forest degradation in DRC fall into two categories: direct and indirect causes. Direct causes are human-induced and climate-induced causes. Human-induced causes of forest degradation in DRC are mainly deforestation, use of unsustainable practices for subsistence agriculture, overgrazing, uncontrolled land-clearing, bushfires, artisanal and industrial mining activities, and inappropriate rainwater management systems. A strong belief among farmers raising livestock is that trees and shrubs compete with pastoral resources therefore reducing the availability of pastoral

resources. Consequently, most of the vegetation has been cleared. This leads to land transformation into bare soil exposed to erosion, landslides and rock falls. Land degradation is also the result of an increased incidence of droughts, temperature extremes, intense rains and acidic rainfalls.

60. Indirect causes of degradation in DRC including the selected intervention sites are linked to the socio-economic, political and institutional situation. A major socio-economic effect of degradation is population growth, particularly close to urban areas, and poverty. In rural areas, the only livelihood option is land exploitation. Education level is low among local communities as well as their awareness of environment problems, and the role of natural ecosystems and biodiversity. This results in low concern for biodiversity and ecosystem health. In addition, forest degradation is induced by the political context such as the gaps, weaknesses and discrepancies within the policy frameworks relative to the management of natural resources, and insufficient capacity for the enforcement of the existing policies. Law enforcement is hindered by the inadequate transfer of power and limited involvement of local authorities in the management of natural resources. Urbanisation is also poorly controlled and anarchic. Limited technical, planning, coordination and monitoring capacity, and shortage in knowledge on the state of natural ecosystems prevent the sustainable management of natural resources. Another major factor of unsustainable land use is civil unrest.

61. Forest degradation and unsustainable agricultural practices are leading to major land degradation in South-Kivu, which is leading as previously mentioned to erosion, landslides and decreasing agricultural productivity among others. The absence of integrated landscape approach to land management in South-Kivu results in three categories of degradation of soil resources: chemical, physical and biological degradation. Chemical degradation is the reduction of soil nutrient content and organic material, and increasing salinity. Physical degradation including soil compaction, asphyxia and crusting is also visible in rural areas. Finally, soil vegetation cover is reducing because of an unsustainable exploitation of natural resources and fires, which results in a reduction of flora and fauna diversity, and gives opportunity for the development of pest species. Consequently, ecosystem services such as water regulation and nutrient cycling are hindered with major consequences on the entire landscape (e.g. reduction of agricultural productivity on hillsides, flooding downstream).

62. In South-Kivu, the main causes of forest degradation are slash-and-burn agriculture (77 to 81%), wood exploitation for charcoal production, fuelwood and wood for construction (12.1 to 13.5%), and deforestation to establish monospecific woodlots (5 to 8.5%)[34]. These practices constantly reduce forest cover and associated carbon sequestration thereby inhibiting climate regulation capacity. In addition, the agricultural activities undertaken make use of traditional practices throughout the targeted sites, which are not adapted to the current and future effects of climate change such as short and intense rainfall and longer drought periods: highly dependent on rainfall, inadapted agricultural varieties (i.e. non-climate resilient, vulnerable to pests), and inadequate soil management practices (e.g. slash-and-burn, absence of crop rotation, monospecific plantations, decreasing use of fallow-land practice). Agriculture is undertaken on slopes in a disorganised manner. Each plot is separated by eucalyptus or ditches. The resulting low agricultural productivity leads to increasing food insecurity and the transformation of wooded lands into agricultural land. Increasing demand for agricultural land combined with limited awareness of the population on the importance of natural ecosystems and biodiversity results in encroachment on protected forests such as PNKB for fuelwood or agricultural activities, and threatens the survival of endemic and endangered species. Eucalyptus trees are increasingly planted as a source of fuelwood. These practices result in further reduction of biodiversity and land fertility.

[34] Serre Duhem C. & Ntoto M. R., 2012. Analyse de la filière Bois-Energie dans la province du Sud-Kivu. PBF/GIZ. Bukavu.

1.2.2 Baseline initiatives

63. Several initiatives for erosion control are being implemented to address the aforementioned threats. The main initiatives aligned with the project interventions are described below.

64. In South-Kivu, the main programme identified that is aligned with the project interventions is the Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ)'s **Programme on Biodiversity and Forests (PBF)**. It was created by the Germano-Congolese Cooperation in 2005. The objective of PBF is to promote the sustainable use of natural resources and contribute to biodiversity protection within and on the surroundings of protected areas and generate benefits for rural communities surrounding these forests and protected areas. The financial cooperation (i.e. Kreditanstalt für Wiederaufbau – KfW) and the technical cooperation (i.e. GIZ) collaborate with the MEDD and the Congolese Institute for Nature Conservation (ICCN). PBF also provides financial support to the Central African Forests Commission (COMIFAC). The four components of PBF are: i) advising to improve the sectoral policy; ii) strengthening the ICCN; iii) implementing the National Policy for Nature Protection in the selected province; and iv) promoting the sustainable exploitation of forests in the selected provinces. The implementation sites of PBF are Maniema and South-Kivu. The main interventions of PBF in South-kivu are as follows: i) support for the development of updated local development plans that promote reforestation and conservation in the buffer zone of KBNP; ii) community-based reforestation in the buffer zone of KBNP; iii) mapping of forest cover in Kabare and Ngweshe Chiefdoms based on satellite images; iv) alignment of the provincial laws and legal frameworks with the national ones regarding forest management in DRC and v) support for the development of national and provincial policies, strategies and programmes in the environment sector. The new phase of PBF will run from September 2017 to August 2019 with a budget of US$ 28,560,000. A third of this budget (US$ 9,424,800) will be allocated to South-Kivu province and is considered as cash co-financing for the TRI child project. Considering that the PBF programme and the TRI child project have very similar objectives, an ongoing collaboration between both projects has been initiated during the project development phase and will be continued through the project implementation phase. The main focus of this collaboration between the two projects will be to share knowledge continuously and to identify as mainly opportunities for synergy and complementarity as possible.

65. GIZ and KfW collaborates closely with international NGOs including WWF and WCS who are using the approaches elaborated as part of PBF implementation in other sites such as KBNP and Itombwe Nature Reserve. Local NGOs are also engaged in the programme and provide technical skills and local knowledge. GIZ also collaborates with the Central African Satellite Forest Observatory[35] (OSFAC) on land-use planning using remote sensing methods.

66. **Louvain Cooperation for Development (LCD)** is an NGO funded by the Louvain Catholic University based in Belgium. Since 2008, this NGO funds interventions for the sustainable use of natural resources in South-Kivu. The project entitled "Promoting a more efficient and sustainable use of forest, agricultural and pastoral resources – particularly through family-based agriculture – in DRC" was recently launched for the period 2017–2021 with a budget of US$ 626,730. Its objective is to support small producers and vulnerable groups to increase food availability and improve sustainably their economic situation. The targeted territories are Kabaré, Kalehe and Walungu. The interventions focus on increasing agricultural productivity through using environmentally-responsible practices and strengthening the capacity of micro-entrepreneurs for products transformation, preservation, storage, and commercialisation. The components of this project are as follows: i) improving functioning and performances of local partners and beneficiaries; ii) increasing agricultural production and food security of vulnerable households; iii) improving income and professionalism of the beneficiaries; iv) protection and sustainable management of the environment by the beneficiaries; and v) Research-Action processes and systematic valuation of the project experiences. LCD interventions that are particularly interesting for the TRI child project include

[35] Observatoire Satellital des Forêts d'Afrique Centrale

increasing financial opportunities for rural communities through the development of solidarity funds[36], promoting improved agro-sylvo-pastoral practices focused on environment protection (e.g. agroforestry, erosion control, organic fertilisers, improved varieties, access to land and livestock husbandry in stalls), organising knowledge-sharing events between communities and promoting agricultural entrepreneurship. They support approximately 480,000 small producers and have created/strengthened 4,000 solidarity funds. In addition, they use the Farmer Field School (FFS) approach for the training of the beneficiaries. The budget of the LCD project (US$ 626,730) is considered as cash co-financing for the TRI child project, which will make use of the experience of LCD to maximise the success of the GEF-funded interventions.

67. As the implementing agency, the **MEDD** will co-finance the project through allocating required experts to address the needs of the project throughout the implementation phase. The **Provincial Coordination of MEDD** will also co-finance the project through hosting the PMU. They will provide office space and furniture for a total of US$ 30,000 considered as In-kind co-financing. Regarding current and planned on-the-ground interventions, the Provincial government of South-Kivu will implement small-scale projects in agroforestry, reforestation and agriculture in the territory of Walungu during the implementation phase of the TRI child project. These projects and their allocated budget are summarised below.

- In Businga, the Provincial government is planning to: i) establish nurseries for agroforestry species in five villages; ii) support local communities for the development of agroforestry activities over 118 ha; iii) implement community-based reforestation interventions over 501 ha and iv) undertake the monitoring and evaluation of the interventions (US$ 812,235).
- In Cisheke, similar activities are planned which include: i) establishing nurseries for agroforestry species in six villages; ii) supporting local communities for the development of agroforestry activities over 245 ha; iii) implementing community-based reforestation interventions over 581 ha; iv) supporting local communities for the cultivation of subsistence crops over 5 ha and v) undertaking monitoring and evaluation activities (US$ 1,036,025).
- In Kamayola, nurseries for agroforestry species will also be established and planting interventions will be undertaken by agroforestry technical staff (US$ 51,740).

The total budget of these interventions (US$ 1,900,000) is considered as cash co-financing for the TRI child project. The lessons learned from the implementation of community-based agroforestry and reforestation interventions by the Provincial government will be of great value to maximise the success of the TRI child project interventions under Component 2.

68. Other interventions of **FAO** in the province include promoting good practices for the restoration of forests and landscapes, supporting the establishment of Dimitra clubs and supporting the FFS approach including the establishment of Junior Farmer Field School (JFFS). As part of FAO interventions, a Global Farmer Field School Platform was created to enable knowledge sharing between all actors involved in FFS globally to improve the quality and efficiency of FFS activities. The information available on this platform includes *inter alia* background information on FFS, regional pages showcasing regional activities, a knowledge repository, a global roster of FFS experts, a partners' page and a global email discussion group. Partners include IFAD, CARE International, Biodiversity International and Oxfam Novib among others. Currently, more than 50 countries are included in the Platform, 350 documents are available in the database and 250 FFS experts are included in the Platform roster. The Global FFS Platform and the knowledge products available will greatly support the efficient use of the FFS approach for the implementation of the TRI child project. **FAO** also collaborates with the **Union for Indigenous Women Emancipation[37]** for the implementation of a project against malnutrition and food insecurity. FAO Headquarter will provide US$ 400,000 as In-kind cofinancing (FAO UNREDD team for US$ 250,000 and FAO FLRM team for US$ 150,000) through which FAO experts will be made available to the TRI child project in the South Kivu and at national level (C1, C2, C3 and C4).

[36] Mutuelle de Solidarité – MUSO

[37] Union pour l'Emancipation de la Femme Autochtone

69. Close collaboration between the TRI child project and the baseline projects will be ensured through the participation of baseline project representatives to: the Project Steering Committee (PSC) meetings and the Local Technical Monitoring Committee (LTMC) meetings. The participation of baseline project representatives as well as representatives of other relevant initiatives to these meetings will enable continuous knowledge and experience exchange, and coordination between projects (please see Section 3.2 for more information on these committees).

1.2.3 Remaining barriers to address the environmental threats

Inadequate policy environment to address ecosystem degradation in a strategic and cohesive manner:

70. **Knowledge availability** on current land uses, degradation and restoration activities, and restoration needs is insufficient. The absence of precise maps delineating the borders of the different state domains prevents the efficient management and monitoring of degradation and restoration activities. The only maps available are developed at the national scale and represent macro-zones. This is one of the main reasons why one forest zone can have two contradictory uses. As a result of insufficient monitoring of land uses, the documentation available on restoration interventions and the state of forest landscapes is limited. Deforestation maps have been developed for several provinces including North-Kivu but excluding South-Kivu. The Restoration Opportunities Assessment Methodology (ROAM) is currently being used by MEDD to identify opportunities for restoration at the national scale with support from IUCN and WRI. High Resolution Carbon Maps showing the distribution in DRC forests have also recently been finalized (April 2017) with the support of WWF, the International Climate Initiative of the German Federal Ministry of the Environment, Nature Conservation, Building and Nuclear Safety, and the German Development Bank KfW. However, these national maps are insufficient to identify local restoration needs at the provincial scale.

71. **Gaps in the policy environment** prevent a coordinated governance. This was raised by multiple stakeholders during the project preparation phase. These gaps include for example the absence of a National Land-Use Strategy that would define the national orientations for the sustainable management of natural resources and would apply to all sectors. This creates misunderstanding and mismanagement, which leads to further degradation of natural resources. Multiple gaps have also been identified in the forest and agricultural sectors (i.e. no national or provincial agriculture strategy, no national or provincial forest strategy). In addition, some of the existing policy documents are outdated (i.e. urbanism decree). These gaps in the policy framework lead to the mismanagement of natural resources. Some efforts are under way to start filling these gaps: the development of a national agricultural policy has been initiated mid-2017 with the support of FAO, a National Forest Strategy is currently developed by MEDD with the support of FAO and mining and land-use reforms are currently being drafted.

72. **Low harmonisation between sectoral policies** such as the agricultural, land-tenure, forestry and mining codes gives scope to different interpretations and unsustainable management of natural resources. For example, discrepancies within the Forestry Code and between the Forestry Code and the Mining Code make unclear the regulations regarding rights and conditions for forest exploitation as well as reforestation and restoration requirements. As a result, these regulations are unclear and cannot be efficiently enforced, which leads to further degradation and loss of forest resources.

73. There is insufficient knowledge on the potential of FLR to raise multiple environment and socio-economic benefits. The prioritisation of **restoration interventions in development plans** is therefore insufficient. In Kabaré Chiefdom, a Chiefdom Development Plan (CDP) was developed for the period 2013-2017 to guide all interventions in the chiefdom. The priority interventions identified included *inter alia* promoting employment, securing land property, promoting agro-sylvo-pastoralism, increasing civil security and good governance and improving socio-economic infrastructure. However, ecosystem restoration is not considered as a possible option to provide both socio-economic and environmental benefits in this plan. In addition, the implementation of this plan has been limited because of insufficient

institutional capacity and budget. In Ngweshe Chiefdom, the CDP is currently under development with the support of GIZ.

Limited opportunities to adopt sustainable livelihoods:

74. **Poverty** is predominant in South-Kivu Province. Overexploitation and erosion have led to a major loss in soil fertility. Indeed, agriculture is mainly undertaken on slopes without implementing erosion-control techniques. This is further aggravated by unsustainable agricultural practices such as the use of non-adapted varieties, slash-and-burn practices and continuous monocultures leading to soil depletion. There is currently limited capacity to select appropriate species according to the needs and local conditions, the collection and manipulation of seeds, and on vegetative propagation. For example, afforestation attempts are currently being undertaken in an *ad hoc* manner by farmers who plant *Eucalyptus* trees in their fields because they do not have knowledge of agroforestry. The efforts of local communities therefore contribute to soil depletion as *Eucalyptus* trees use a lot of water and impoverish the soil. In addition, community capacity for the processing and preservation of their agricultural production is insufficient. As a result, most of the rural population in the targeted chiefdoms is maintained in a severe state of poverty.

75. Similarly to agriculture, livestock husbandry is currently leading to erosion and desertification of hillsides as well as conflicts between community members. This is because of poor delineation of grazing areas and overexploitation of pastoral resources. Kabaré Chiefdom for example was initially a major pastoral area because of climate, vegetation and landscape. However, due to demographic pressure and land clearing, the availability of pastoral resources is decreasing in the selected chiefdoms.

76. Another major factor of poverty is the **limited opportunities for local communities to adopt sustainable livelihoods and practices, and diversify their sources of income**. Local communities – including Pygmy groups – mainly rely on natural resources to meet the needs of their households such as forests for fuelwood and subsistence, and agricultural and pastoral land for subsistence and to generate income. Poor communities have insufficient capacity to adapt to climate conditions by preferring one income-generating source or another. They have limited access to communication tools and knowledge sources for experience sharing. Local communities are therefore particularly vulnerable to the effects of climate change.

77. The aforementioned situation applies to the majority of the population. However, some initiatives have already been implemented to address these barriers, which resulted in the adoption of alternative sources of income by a small proportion of the population. For example, bee-keeping is currently undertaken in both chiefdoms. Producers are grouping into associations to better organise the collection and processing of honey. The sales are done through mobile trading or small offices. The price varies between 8 and 10 US$ per litre. However, the production remains at a very small scale and rudimentary techniques are being used often without protection equipment.

78. The production of improved cook stoves is another alternative livelihood encountered in the targeted chiefdoms. Clay stoves – the most affordable ones – are generally made by Pygmies. Metal stoves can also be purchased from blacksmiths. Bricks production is common in the targeted area, particularly in Ngweshe. A large variety of people produce bricks including teachers, farmers, policemen and government staff. However, cooking bricks uses a lot of wood, which makes them difficult to produce and contributes to deforestation. In addition, improved cook stoves are only used by a small portion of the households.

79. The **financial opportunities to invest in sustainable income-generating activities are insufficient and difficult to access** by local communities. Indeed, some sources of funding are in place but accessing them necessitates to meet the requirements of the Micro Finances Institution (IMF) regarding time schedule and interest rates. For example, reimbursement schedule – generally three months – are not in line with agricultural cycles (i.e. six months or more for subsistence crops). This prevents the sustainable development of the agricultural sector because farmers are enable to invest in agricultural inputs, raw material, equipment or infrastructure to increase productivity and become competitive. Other financial systems exist within local communities such as "Likelemba" or collective saving where all members pay contributions to the fund and benefit from it one after the other (i.e. tontine). Community-based saving and credit systems such as Village Associations for Savings and Credits[38] (AVEC) are found in South-Kivu and have been proven efficient (see Annex 8 for more information on AVEC). Such flexible financial systems are not sufficiently developed in the targeted chiefdoms.

80. Another barrier to the adoption of sustainable livelihoods by local communities is the **precarious land-tenure situation**. Until recently, the law did not enable local communities to own land. According to the Bakagika Law (1966), the land belongs to the state, however, in practice it belongs generally to the Mwami. This is the case in the targeted chiefdoms. The land is mainly owned by the Mwamis and can only be bought by rich community members. Some state-owned land is found in smaller proportions. As a result, the majority of local communities' members have limited access to land. Property contracts or agreements are mainly short-term, precarious and often unclear. This situation is particularly severe for Pygmy groups that have no own land to undertake agricultural activities and no rights to claim land (see Section 2.3.3). For example, conflicts are occurring in Kabaré Chiefdom over the limits of each agricultural plot. These conflicts induced by inadequate land-tenure systems are aggravated by the increasing population size in both chiefdoms. This situation prevents communities from making investments and hinders their motivation to adopt sustainable practices that would enable them to maintain production in the long term. A new decree signed in 2016 gives the right to local communities to become land owners but this is very recent. The first deed of ownership was given in September 2016: 1,200 ha have been allocated to Madouda community. However, this remains until now an isolated case.

Institutional and technical capacity is insufficient to enable the use of FLR:

81. There is **insufficient institutional and technical capacity** to adopt an integrated and efficient approach to restoration at the provincial and local levels both within government and non-government organisations in South-Kivu. The majority of on-going projects have little focus on sustainable land management, natural resources management, climate change or disasters despite the prioritisation of these themes within the national policies. The **technical capacity** on specific methods to address land degradation and achieve sustainable land management (e.g. soil amendments techniques to increase and maintain soil fertility) is limited. Local authorities have insufficient institutional and technical knowledge to guide local communities to adopt climate-resilient and sustainable income-generating activities. The technical capacity to select **climate-resilient, beneficial species** is limited. *Eucalyptus* trees are used widely and few local species are found on the list of species used for forestation and reforestation in South-Kivu. The programmes working toward sustainable land management are *ad hoc* and isolated from each other. Similarly, knowledge management systems for these programmes are not centralised. Land degradation and its consequences are also poorly monitored, documented and understood. In addition, existing knowledge is inadequately disseminated. As a consequence, there is a shortage in technical capacity from the government staff to local communities.

82. Some initiatives have been implemented to increase the capacity to design, implement and maintain interventions for the sustainable management of natural resources at the local level. Community-based Conservation Committees (CoCoCos) have been established around the KBNP by ICCN with the support of WCS, GIZ and USAID to reduce sustainably the dependence of local communities on

[38] Associations Villageoises d'Épargne et Crédit

the park using a conflict-sensitive and gender-sensitive approach and considering communities' needs. Their micro-enterprises programme where micro-credits are allocated to CoCoCos was initiated in 2010. To date, 600 people have directly benefited from this programme. In exchange of this financial support, CoCoCos undertake the patrolling in the park together with the guards. This system has been successful in improving the relationship between local communities and conservation entities. However, the institutional and technical capacity of these local institutions is limited and the support to indigenous communities has been low to date.

83. The **coordination between all institutions and sectors** involved in exploitation and protection of natural resources is inadequate at the provincial level thereby creating partition between interdependent sectors including environment, agricultural, forestry, land affairs and mining sectors. For example, decision making regarding land use is undertaken separately by different sectors without consideration of the immediate and future impacts of these land uses on interdependent sectors such as the environment. Limited knowledge sharing between sectors is also a contributing factor to unsustainable land management. Coordination is undertaken at the national level by thematic groups who meet approximately every three months to discuss and address issues within specific economic sectors including agriculture and rural development, environment, and forests. These coordination platforms include representatives of the government, the private sector, the civil society and funding agencies. There is currently no cross-sectoral mechanism at the provincial level.

84. The **civil society** can play an important role in advocating the sustainable use of natural resources and landscape restoration. It is also the main witness of the activities undertaken in the field to inform higher instances. However, its efficiency is currently limited by insufficient technical capacity and a shortage in monitoring equipment.

85. Similarly to government institutions, the **capacity of community-based institutions** in the intervention sites is low. More than 80% of the associations in the targeted chiefdoms were created five years ago or more. In Kabaré Chiefdom, community associations are present mainly in the agricultural sector. Existing associations include mixed, women, and youth associations. Almost all of them have an official administrative status. However, few on-the-ground interventions are being undertaken by these associations. In Ngweshe Chiefdom, a lot of mixed, women and youth associations exist as well. Most of them focus on livestock husbandry and human rights. A large association of bricks producers also exists. However, similarly to Kabaré Chiefdom, there are currently no on-the-ground interventions. The main capacity shortages of local associations identified during project preparation are: no or few qualified technicians, the structure is not operational, collective work is ineffective, financial management is not transparent, financial benefits are limited or null, absence of bank, savings or credit account, insufficient financial capacity to process the products, and limited capacity to monitor and evaluate their activities.

Economic and financial barriers hinder the implementation of FLR:

86. Because of the **political crisis** faced by DRC, government funds allocated to the relevant institutions to implement restoration and sustainable land management interventions are limited. As a result, government institutions have insufficient institutional and financial capacity to enforce their sectoral regulations. Two major consequences of inadequate law enforcement regarding environment management are: i) on-going unsustainable management of natural resources and ii) financial gap from non-applied fines for illegal exploitation.

87. Existing **public funding sources** such as the National Forest Fund and the Mining Reforestation Fund are not currently funding restoration interventions. According to the preliminary analysis undertaken during project preparation, limited funds are generated because of insufficient law enforcement, and the funds are transferred to the government budget without guidelines to restrict their utilisation.

88. The National Forest Fund was created to fund the interventions for the restoration of forest capital in DRC to contribute to achieving the government objective of restoring 3,000,000 ha of degraded forest landscapes by 2025. The "Programme to Support the Restoration of the Forest Capital" was therefore developed and is under implementation. It is organised around four pillars: i) agroforestry; ii) reforestation; iii) forest management and iv) institutional capacity strengthening. In South-Kivu, the fund was implement at the provincial level in August 2016 by the MEDD through the establishment of an office and a technical staff. The role of this provincial office is to collect taxes from tree cutting and deforestation. The responsibilities of the provincial branch include three main categories of activities: raising awareness of forest dwellers on the forest protection laws and enforce these laws, collect tax money from legal tree cutting and deforestation, and support and fund reforestation projects in the province. 50% of these taxes go to the National Forest Fund and 50% go to the provincial budget with no specific guidelines for the use of the funds. However, limited law enforcement and control of forest exploitation in South-Kivu enables forest dweller to avoid paying government taxes. As a result, the official consumption of fuelwood is 6,000t according to the report of the Provincial Environment Coordination of South-Kivu from August 2016. On the other hand, GIZ field surveys resulted in a higher estimation of 90,000t per year. The Provincial Coordination does not have the required financial, technical and institutional capacity to monitor and maintain a database on legal and illegal exploitation activities. Taxes for illegal logging go to local governments, and can be used without restrictions. As a result, no funding is allocated towards reforestation to compensate forest degradation in South-Kivu.

89. The Mining Restoration Fund has a limited budget because big companies such as BANRO pay taxes in Kinshasa. Mining companies pay taxes as well for reforestation, but the reforestation interventions are not actually implemented at provincial level. In South-Kivu, in 2016, 400,000 US$ of the fund managed by the Ministry of Environment was used to build community infrastructure. No budget was allocated to Forest and Landscape Restoration interventions.

90. There is no system to channel **private sector funding** towards restoration interventions in an organised and systematic manner. Several private companies have been identified as potential sources of funding for reforestation activities based on their stated approach. For example, BANRO states that environmental norms – including *inter alia* minimising environment impact of their activities and promoting community-based reforestation – are a major element of their approach[39]. PHARMAKINA Company – based in Bukavu – plants systematically 20% to 30% of the total land exploited with fuelwood fast growing species such as Eucalyptus to meet its needs in fuelwood in the long term for the production of quinine. OLIVE Company works in the agriculture, environment, mining and building sectors. OLIVE's interventions in the agricultural sector focus on the production of subsistence and perennial species over 4,000 ha located between the territories of Uvira, Walungu, Kabaré and Kalehe. The main staple crops that are promoted are maize and rice. Regarding perennial species, OLIVE Company grows quinquina, and Arabica and Robusta coffees. They undertake mining activities since 1991 and have obtained Exploration and Small Mines licences. They are also involved in reforestation interventions. Nurseries have been established in the four targeted territories for the production of improved tree varieties adapted to climate conditions (e.g. *Mesopsis*, *Grevillea*) to be distributed to farmers. The opportunity to use the willingness of these private companies in contributing to the sustainable management of natural resources is currently underexploited in the South Kivu.

91. Regarding international funding sources, CAFI currently focuses on climate change mitigation through reducing deforestation and implementing reforestation interventions. However, their investment plan does not prioritise enough provinces with high potential for FLR interventions such as South-Kivu. In addition, it does not fully consider the multiple socio-economic and environmental benefits of FLR and the cost-effectiveness of FLR interventions for climate change mitigation in DRC.

[39] It is important to note that according to a report of the Mining House of Kivu from May 2015 on the impact of BANRO Corporation investments on human rights in DRC, the mining activities of BANRO have had negative effects such as family displacement, and loss of agricultural and pastoral land that were the main sources of income of the surrounding communities.

Limited knowledge availability on the role of natural ecosystem and lack of knowledge sharing on restoration initiatives:

92. The goods and services provided by natural ecosystems, and their role in people livelihoods is currently absent from the **school curricula**. Some modules on agricultural planning have been integrated at the university level by the Comprehensive Africa Agriculture Development Programme (CAADP) and a chapter on FFS is currently under development. However, FLR remains absent from the curricula of universities and forestry/rural development institutes such as ISDR (Institut Supérieur de Development Rural) in Bukavu.

93. **Community awareness** on the role of natural resources for environment health and human health is insufficient. Similarly, the majority of local communities are aware of the uses of wood resources and the corresponding economic opportunities but little is known about the opportunities offered by Non-Wood Forest Products (NWFPs). This limited knowledge of the sustainable economic opportunities generated by healthy natural ecosystems is an important factor of degradation of natural resources.

94. Current monitoring systems are sectoral and project based. As a result, the knowledge generated by the past and on-going projects is not capitalized enough because of the absence of systematic information gathering, compilation, and dissemination systems and is therefore mostly inaccessible to other sectors. One example of the negative effects of the absence of centralised monitoring and evaluation systems is the **FFS approach in DRC,** which has been used in the agricultural sector since 1998 to fight the "Manioc mosaic"[40]. All agricultural projects use this approach including in South-Kivu. However, the success and sustainability of this approach has been limited by insufficient control and monitoring of the implementation of the approach. For example, according to the FFS approach, the training should be for 21 days minimum and some schools provide training on a much shorter period.

1.3. THE GEF ALTERNATIVE

1.3.1 Development objective and project objective

95. DRC is aiming towards a reduction of deforestation at the national scale both to promote sustainable development and to make their contribution to the global development objectives. National and provincial policy documents converge towards preventing the degradation and promoting the sustainable use of forest, soil and water resources.

96. The **development objective** of the project is to increase development opportunities in DRC through the sustainable exploitation of natural resources. The interventions will contribute to achieving the commitment of DRC to the Bonn Challenge and the AFR100, which is the restoration of 8,000,000 ha of deforested and degraded land by 2030. The use of an integrated approach to ecosystem restoration will enable to raise multiple, sustainable economic opportunities for local communities. Knowledge sharing from the community to the government level will be promoted in order to build on the experience available in DRC as well as in other countries for the implementation of the project interventions and beyond. The participatory approach used throughout the interventions and increased economic value of natural resources will enable to reduce ecosystem degradation in the long term thereby maintaining ecosystem services and productivity.

97. The **objective of the TRI child project** is to contribute to the restoration of the natural ecosystem through the reforestation and sustainable management of natural resources by local communities in South-Kivu using a Forest and Landscape Restoration (FLR) approach. The interventions will focus on

[40] As in the TRI child project this approach will not be limited to agriculture but will also be applied to pastoralism, agroforestry and reforestation. The terms Agro-pastoral Field School (APFS) will be used in the rest of the document.

reducing the degradation of forest, agricultural and pastoral land to prevent further erosion and loss of soil fertility, restore ecosystem functioning and sustainably increase productivity. Restoration and conservation interventions will be undertaken over a minimum of 4,800 ha and direct benefits will be raised for at least 5,000 vulnerable households. South-Kivu will be used as a pilot province to demonstrate the benefits of the FLR approach thereby promoting its implementation in other provinces in the country.

98. The indicators and targets at the project objective level are as follows:

Indicators:

i) Hectares of land restored or under improved management in the two selected chiefdoms
ii) tCO2eq emissions avoided/sequestered in targeted landscapes as a direct result of TRI child project interventions

Targets:

i) At least 4,800 ha
ii) At least 1,064,457 tCO2eq

1.3.2 Project components, outcomes and outputs

Component 1: ENABLING ENVIRONMENT: Policy development to promote FLR at the provincial level

99. Component 1 addresses the barrier related to gaps and discrepancies in the policy framework that prevent the efficient use of an integrated approach to restoration in the province. The interventions will focus on promoting a coordinated response to ecosystem degradation through improving the policy framework from the provincial to the chiefdom level. At the provincial level, the required improvements to the policy environment will be identified and prioritised. Both provincial and national policies might be prioritised as part of this exercise. These priorities will then be addressed by the government stakeholders using a participatory approach, where the participants will be supported in identifying the gaps and prioritising the improvements required during interactive workshops. One of the policy gaps to be filled in by the project is the absence of a Provincial Restoration Strategy and Action Plan to enable coordinated restoration efforts. At the chiefdom scale, Chiefdom Development Plans (CDPs) will be updated to include restoration interventions.

Outcome 1: An enabling policy framework for FLR is in place in a pilot province of DRC, South-Kivu

Indicators:

i) # and type of relevant FLR-related policies/legislation/plans etc. identified/supported by the TRI child project, and progress towards mainstreaming FLR into policy and regulatory frameworks (Scales 1 to 6)

Targets:

i) At least one policy in the forest sector (Provincial Forest Restoration Strategy and Action Plan), at least one in the agricultural or environmental sector (Environment provincial policy or provincial programme for sustainable agriculture development) and two Chiefdom Development Plans, drafted and submitted for adoption (Scale 1: FLR considerations are mentioned in sector policy)

Output 1.1: Provincial Forest Restoration Strategy developed using the Restoration Opportunities Assessment Methodology (ROAM) approach in South-Kivu

100. The first activity under Output 1.1 will therefore be the micro-zoning of forest types (i.e. classified, protected and permanent production forests), agricultural land, mining sites and urban areas in the South-Kivu. This mapping exercise will be undertaken using a participatory approach with government stakeholders at the provincial level and non-government stakeholders at the provincial and local levels

(i.e. NGOs, community associations, and local communities). A major partner for the implementation of this intervention is the Inventories and Forest Management Directorate (DIAF) and OSFAC.

101. The mapping initiatives undertaken at the national scale will be built on as part of the TRI child project interventions to produce detailed maps at the provincial level to identify restoration opportunities in South-Kivu in collaboration with WRI and IUCN. This will include mapping all on-going and planned restoration initiatives at the provincial scale. As a result, the priority restoration sites will be defined to guide on-going and future FLR interventions in South-Kivu. These maps will be used to guide the use of funding sources for FLR under Component 3.

102. The priority restoration areas identified will be integrated in the Provincial Forest Restoration Strategy and Action Plan. The provincial strategy to be developed under the TRI child project will be based on the National Forest Strategy that is currently under development and build on the experience from the implementation of the 10-year reforestation plan 1989-1999. This document will enable the sustainable management of forest resources.

Output 1.2: Workshops organised with relevant stakeholders to address the barriers within the national and provincial policy environment to promote FLR

103. The gaps, strengths and weaknesses of the policies, strategies and plans is the environment, forest, agriculture, water, mining and land affair sectors will be identified using a participatory approach. Some major gaps pre-identified during project preparation include the absence of policies to support the implementation of the Environment law (2011) including a decree to establish the Environment Intervention Fund, the law for Nature Conservation (2014), and the law defining the basic principles for agriculture (2011) including *inter alia* a provincial policy for agriculture, a decree to establish a Provincial Advisory Committee for Agriculture. The Mining Code, Forestry Code, Investment Code and related provincial decrees will also be investigated. After undertaking a stocktake of the progress in addressing gaps in the policy framework (see Section 1.2.3), some priority interventions to address the remaining gaps in the policy framework will be identified in a participatory manner and the relevant stakeholders will be supported by the TRI child project in addressing these priorities through the organisation of workshops and provision of required tools and expertise.

Output 1.3: Development Plans integrating Forest and Landscapes Restoration options developed for Kabaré and Ngweshe Chiefdoms respectively within the territories of Kabaré and Walungu

104. The CDPs of Kabaré and Ngweshe Chiefdoms will be updated under Output 1.3 to integrate restoration interventions. These plans will include the priority interventions, a five-year work plan and a business plan. This will be done using a participatory approach with the administrative authorities of the territories, the Chiefs of chiefdoms and the Chiefs of the groupings. Consultations and workshops will be organised with the aforementioned stakeholders and with the participation of the MINAGRIPEL, MATUH, IPAPEL, IPDR and FAO. Mapping exercises will be undertaken where necessary to clearly define the priority interventions. The CDPs will be updated in close collaboration with GIZ – who also plan to support the development of CDPs in South-Kivu in the new phase of the PBF project – to maximise complementarity and experience sharing. Local Development Committees (LDCs) will also be supported under the TRI child project. The role of these Committees is to provide a collaboration and knowledge-exchange framework for the development of the villages within the groupings and to defend the interests of local communities. The required training and tools will be provided to these committees to capacitate them in integrating and implementing FLR approaches in their respective CDPs.

<u>Component 2: DEMONSTRATION: Forest and Landscape Restoration options and sustainable livelihood based on natural resources demonstrated at the chiefdom level in the mountain region of South-Kivu Province</u>

105. Under this second component, the FLR approach will be demonstrated in the targeted chiefdoms of South-Kivu. The design of the local interventions will first be refined – based on the maps developed under Component 1 – through a further analysis of the current state of natural resources and of the socio-economic and land-tenure context in the two targeted chiefdoms. The on-the-ground interventions will then be undertaken in the targeted forest, agricultural and pastoral lands. These will include building soil conservation infrastructure, implementing reforestation interventions, promoting climate-smart agriculture practices and improving sustainably of the productivity of pastoral land. An Agro-Pastoral Field School (APFS) approach will be used throughout the implementation of these interventions to promote the maintenance of the required technical knowledge within the local communities. For these interventions to be maintained in the long term and to promote sustainable development, local communities will be supported to develop income-generating activities based on the sustainable management of natural resources in the restored areas including the production of NWFPs. This intervention will be accompanied by the development of the value chains for the products selected by local communities in order to maximize economic benefits in the long term. Last, financial options will be strengthened to increase access of all community groups to economic opportunities thereby promoting replication and upscaling of the practices promoting under the TRI child project within the targeted communities and in neighbouring communities.

106. Guidelines on the best practices and relevant methods/tools promoted by the TRI child project in South Kivu will be produced as supporting documents for the training sessions, and distributed to the participants and their institutions. This will maximise the efficiency of the capacity building activities and encourage the dissemination of the practices beyond the project direct beneficiaries.

Outcome 2: Forest and land degradation in Kabaré and Ngweshe Chiefdoms is reduced through the promotion of FLR good practices (including agroforestry) in pastoral lands, agricultural lands, forest lands and on hillsides

Indicators:

i) # of people directly benefiting from project activities (including capacity building events and trainings) (m/f)
ii) Average annual household income from forest and tree products and from increased agricultural and pastoral productivity

Targets:

i) 30,000 people including 50% of women or 5,000 households (2,500 in Ngweshe and 2,500 in Kabaré)
ii) TBD

Outputs 2.1: Site-specific restoration plans developed in the targeted Chiefdoms including the identification of priority zones, species, restoration practices and land-tenure systems

107. The design of the interventions will be based on the Provincial Forest Restoration Strategy of Output 1.1. A complementary, finer analysis of the state of forest, agricultural and pastoral resources as well as the local socio-economic context in Kabaré and Ngweshe Chiefdoms will be undertaken under Output 2.1. Local communities, local government authorities, and traditional Chiefs at the chiefdom and grouping levels will participate in the data collection process and data analysis. This will help delineate the priority areas to be restored by the project including areas in the buffer zone of KBNP in Kabaré Chiefdom (Annexe 7). An analysis of potential land-tenure issues in the identified areas will be undertaken before implementation of restoration initiatives.

108. The interventions of the TRI child project under this output will contribute to securing long-term exploitation rights for local communities in the restoration sites in order to enable the sustainable management of natural resources by these communities in the project sites. Several adequate land-tenure systems have been pre-identified during the project preparation phase. The first one is the allocation of titles of property to local community members by the Mwamis. Community-based forest

management systems where two or three groupings come together to manage forest land will be promoted where appropriate. In such system, the community officially requests ownership of the targeted land to the state or the Mwami. However, this will have to be complemented by an official agreement involving a third party as a witness for these rights to be maintained despite political changes and new Mwamis. For example, an official contract could be signed between local communities, traditional authorities and government authorities. Provincial decrees could also be developed to promote the attribution of property titles to local communities by the Mwami. As property titles are recognized by the land-register, it would promote their sustainability. The most appropriate system for each specific site will be identified during the project inception phase.

109. The Dimitra Clubs approach is a major element of the community-based and gender-sensitive approaches of the project. Dimitra Clubs will also be strengthened and established for these informal organisations to be able to take ownership and support efficiency and sustainability of the project interventions. Each club will include men, women and youth members and its membership is based on voluntary participation. This approach has been successfully implemented by FAO and other organisations in several provinces of DRC and other countries. Dimitra clubs will raise the following benefits to local communities: improved access to information, improved community mobilisation to implement concrete interventions, improved participation in decision making including for women, youth and marginalised groups, increased autonomy and ownership, reduce GBV, enhance socio-economic opportunities and improved knowledge sharing with other communities, via community radio and other relevant information technologies. The GEF-funded project will use this approach to trigger active participation and long-term ownership of the interventions for ecosystem restoration, natural resource protection and food security. The development of partnerships between the Dimitra clubs and local media will be supported by the project for information sharing. Exchange visits with other community groups that have relevant experience and can show visible benefits from improved practices relevant for the GEF-funded project will be organised both as a powerful tool to raise awareness of local communities and their willingness to adopt improved practices.

110. The steps toward the establishment of new Dimitra clubs will include: i) identifying and developing capacities of a local organisation to accompany the establishment of Dimitra Clubs through a series of training sessions and coaching; ii) organising workshops with local government representatives and local leaders to discuss and assess the local situation; iii) organising awareness-raising events on the principles and objectives of the approach, as well as on previous experiences in other sites; iv) training of the Dimitra Clubs leaders on the principles of the approach to enable them to continue supporting and monitoring the Dimitra clubs beyond the project; v) overseeing the establishment of the clubs and the implementation of their priority activities; vi) provide technical support to local partners supporting the clubs in resolving issues throughout the project to strengthen their capacity. A forum will be organised with all the Dimitra clubs two years after their creation or strengthening to share achievements and experiences.

111. Based on the list of species pre-identified during the project preparation phase (see Annex 8), the set of tree, shrubs and crop species to be planted as part of each type of interventions will be finalised under this output based on traditional knowledge and communities preferences within the specific groupings and taking into consideration the latest research findings on restoration, agriculture, pastoral and agroforestry species of the Environment and Agricultural Research Institute (INERA)-Mulungu, the Natural Sciences Research Centre[41] (CRSN)-Lwiro, the International Institute for Tropical Agriculture (IITA) and universities. The selected species will meet *inter alia* the following criteria: climate-resilient, indigenous (or naturalized), globally significant and/or threatened, fire resilient, soil fertilizer, promoting biodiversity and offering economic returns. Potential species to be selected include species supporting honey production, fodder trees, trees providing bio-pesticides for agriculture, trees providing valuable fruits, nuts and oils for consumption or commercialisation, soil fertilising crop and tree species.

[41] Centre de Recherche en Sciences Naturelles

112. The last step before launching the on-the-ground interventions will be to undertake an Environment and Social Impact Risk Analysis of the planned interventions. One of the main focus of this analysis will be to ensure that the improved sources of income selected under Output 2.3 have a positive impact on the environment.

Outputs 2.2: 4,800 ha of forest, agricultural and pastoral ecosystems under improved landscape management practices using APFS and Dimitra clubs approaches

113. Prior to starting the implementation of the interventions, a long-term management plan for the ecosystems targeted by the project will be developed with local communities. Committing to implementing the long-term management plan will be a requirement to obtain the support of the project. This plan will enable the project actors to ensure that all the required systems and elements are in place for all the interventions implemented by the project to be maintained in the long term after the project end. No access zones will be identified as part of this plan to enable natural regeneration in the sites that are not benefiting from direct planting interventions. Guarding and delimitation of reforestation areas until the young trees planted as part of the project have reached a threshold size that enable them to resist to grazing and harvesting will also be integrated in this plan. The role of local communities and other relevant actors in the implementation and monitoring of this plan will be clearly identified in the plan. After validation of this plan by all the actors involved, the on-the-ground activities will be initiated, building on the range of options already pre-identified during the preparation phase by national consultants (See annex 7).

114. The first category of on-the-ground activities aims to reduce erosion and increase soil productivity for agriculture and reforestation on hillsides. The best soil conservation techniques will be selected with local communities based on the experience in the country and in neighbouring countries such as Rwanda. The selected soil conservation infrastructure will include *inter alia* terraces on hillside and living fences to reduce water run-off and erosion and increase infiltration. This intervention will build on the experience gained in Nyangezi through various initiatives such as the Diobass. The APFS approach will be used to train farmers on the use of these techniques. The project beneficiaries will then be supported in the adoption of these techniques on their own land. An expected target of at least 500 ha will benefit from specific soil conservation interventions in the CDPs of the two selected chiefdoms.

115. Reforestation interventions on hillsides will be undertaken in collaboration with local communities with the objective to provide multiple goods and environmental benefits (e.g. increase carbon storage, reduce pressure on forest resources within KBNP, reduce erosion in agricultural land downstream, develop alternative sources of income through relevant NWFP value chains). Using a participatory approach with local communities, several reforestation methods will be identified including direct reforestation and indirect reforestation. Local communities will be supported by the project to implement direct reforestation through tree planting at high altitude and on steep slopes in the priority sites they will have selected. The target is to implement direct reforestation over at least 500 ha. Indirect reforestation will be implemented through the delimitation and guarding of specific areas with high potential for natural regeneration or assisted natural regeneration. Enrichment planting will be undertaken as part of the assisted natural regeneration interventions where necessary. The target for indirect reforestation is at least 1,500 ha to be identified in the buffer zone of KBNP. Training and support will also be provided to local communities on monitoring and maintaining the reforestation sites. Firebreaks will be built within and on the surrounding of reforestation sites to reduce bushfire risk inducing mainly by slash-and-burn agriculture. Examples of tree species to be planted include *inter alia Entandrophragma excelsum*, *Maesopsis eminii, Markhamia lutea* and *Podocarpus usambarensis.* Grass species such as *Tripsacum* could also be selected to increase soil stability and fertility. Some reforestation interventions will be undertaken through small community-based restoration initiatives. The design and implementation of reforestation activities will be undertaken in close collaboration with the Provincial Coordination of MEDD who will host the PMU, as they are already undertaking small-scale community-

based reforestation activities in Walungu Territory. The Provincial Coordination of MEDD is also expected to play a major role in supporting local communities during and beyond the project, and in monitoring the mortality rates and tree growth rates in the long term.

116. Climate-smart agriculture practices on hillsides will be promoted. Community training on the selected techniques will be done using the APFS approach. This approach will be used to facilitate buy-in of local communities on some improved practices by enabling farmers to learn from experimenting the practices and directly observing the results. It will also provide an additional platform for knowledge sharing between farmers to maximise the number of beneficiaries of the project interventions. These structures are already established but need to be strengthened to provide efficient training on climate-resilient agriculture, agroforestry and forest restoration. Approximately 300 APFSs will be strengthened or established as part of the project. Training will be provided on the production and use of organic fertilisers, compost, manure and green waste. Farmers will subsequently be trained on the cultivation of climate-resilient varieties. The selected varieties will grow on hillsides and be suitable for agroforestry or crop rotation systems. At least 60 ha will be targeted by this activity, which corresponds to 2000 household as each household has approximately 0.03 ha (i.e. 300 m^2). Other agricultural techniques to be promoted include no tillage, mulching, use of catch crops, crop rotation and companion planting to increase the resilience of agricultural systems. In addition, agroforestry practice will be promoted over 440 ha. Improved agricultural practices will therefore be demonstrated over a total of at least 500 ha in the targeted sites.

117. Sustainable pastoral activities will also be supported over at least 300 ha. Fodder trees and shrubs as well as adapted agrostology species will be promoted on pastoral land. Farmers will be supported to improve the management of pastoral land through awareness raising and training on the benefits of tree species for soil stabilisation and productivity, no-access plots, limit livestock concentration and grazing rotation. Awareness raising will also focus on dismantling the local belief that trees are competitors to pastoral resources which fuels tree cutting in the targeted chiefdoms.

118. The set of natural resources' restoration practices will be implemented in such a way to benefit sustainably and equally all groups within the community including women, youth and indigenous people which represent the most vulnerable community groups.

119. Thanks to the work on the buffer zones of the Kahuzi-Biega National Park it is estimated that the project will have a direct impact to improve the forest conservation status on 1,500 ha on the border of the National Park. Along the same lines, the assumption is made that through the project, as indirect impact, 30,000 ha will benefit from improved protection/management, considered. Out of these we estimate that 15,000 ha are in the in the more external part of the Park and therefore moderately degraded and 15,000 ha are in the centre of the Park and therefore having a low percentage of degradation.

Outputs 2.3: 70 micro-projects for the development of cost-effective and sustainable livelihoods based on the sustainable management of natural resources in the intervention sites implemented to increase the economic value of forest, pastoral and agricultural resources thereby promoting natural resources' conservation

120. Sustainable livelihoods will be developed directly by local communities with support from the project. This output will be designed and implemented in collaboration with Louvain Cooperation who has extended experience in supporting the development of sustainable income-generating opportunities for rural communities in South-Kivu. The approach to be implemented is to train local communities in the development of cost-effective and sustainable micro-projects. Funding will be attributed to community associations and groups rather than individuals. Local communities will therefore be supported in organising themselves into groups where needed. The selection of these projects will be based on a set of criteria including the direct application of the practices promoted by the project, the social and

environmental benefits, the cost-benefit ratio and the financial contribution of the communities from 20 to 30% of the amount. Overall criteria will also be to benefit 50% of women and a number of indigenous people proportional to the number of indigenous people in the population. Youth groups will also be supported by these micro-projects. The selection process will be led by the PMU and the LTMC. Based on the information collected in the field by the PPG team, the following economic opportunities will likely be selected by local communities: apiculture, bricks production for improved cook stoves, small livestock raising and tree production. Based on community consultations, the priority needs in the targeted sites regarding apiculture are reforestation on hillsides, technical support to adopt improved practices, and hives. The establishment of nurseries for the production of agroforestry trees has been identified as another income-generating opportunity in the targeted sites. Women associations and schools have been identified as relevant structures for tree seedlings production/small-scale nurseries.

121. Both more efficient production of bricks through better use of natural resources and reduction of use of fuelwood and more organised production of improved cook stoves to increase the benefits generated could be supported by the project as it was raised as a priority need during project preparation. GIZ has experience in supporting the production of improved cook stoves in South-Kivu and would therefore be an important partner in such micro-projects. This is another opportunity to focus on women who are generally in charge of cooking and of collecting fuelwood.

122. Another priority economic need identified during project preparation is to improve livestock production. During the consultations, local communities suggested the development of small livestock husbandry (e.g. goats, chicken and rabbits) in stalls to increase productivity per land unit and, consequently, decrease the pressure on pastoral resources. This activity would have to use exclusively sustainably produced fodder resources as promoted under Output 2.2. This type of income-generating activity seems to be practiced by women more than men in the two targeted chiefdoms. For such small grants, the positive impact on natural resources will have to be clearly demonstrated and specific training and support in veterinary care will be needed to ensure the sustainability of these small-scale livestock husbandry micro-projects.

123. The implementation of the selected micro-projects by local communities will be complemented by the development of value chains for the forest, agricultural and/or pastoral products generated from the micro-projects. Examples of products to be supported include honey, fruits, nuts, oils and chicken. This activity will include support for the processing and preservation of the product as well as their marketing, to maximise the income generated from their production and minimise the loss. The corresponding sub-activities will therefore include: i) supporting producers in processing their products; ii) identifying potential markets and raising awareness of sellers on the improved production in the intervention sites through workshops between producers and sellers (local market places); iii) contributing to the development of appropriate storage facilities for the production and iv) supporting producers in complying to the standards of quality, quantity and delivery time.

124. To support the sustainability of these interventions and promote the adoption of improved techniques by communities who have not received funding for a micro-project, training will be provided to local associations to increase their capacity to maintain or adopt improved practices. To address the needs identified during project preparation, training will be provided to at least 240 community associations, including 115 in Kabaré and 125 in Ngweshe. The average number of members in each association is 40 and women represent on average 45% of the members. The sub-activities include: i) undertaking an inventory of existing community associations, assessing their functioning, and selecting the ones to be targeted by the project; ii) supporting farmers associations to form cooperatives for forest, animal or agricultural products where needed; iii) undertaking a full capacity assessment and identify the needs of the selected associations using a participatory approach and iv) providing required training. Based on the preliminary capacity needs assessment, the training workshops will focus on: leadership, team work and role distribution, management, structuration and gender, slopes management including establishing living fences and terracing, erosion-control techniques, ecosystem restoration and FLR

approach and best agricultural, agroforestry and livestock husbandry practices. These workshops will be complemented with visits to other local associations for knowledge exchanges. In order to promote participatory monitoring in the selected sites/chiefdoms, specific training events will also be organized on data collection and monitoring for agricultural and restoration interventions.

125. Innovative financial options will be developed to further enable adoption of improved income-generating activities based on the sustainable use of natural resources. Collaboration with LCD will be established for the implementation of this activity to benefit from their experience in the development of financial opportunities for local communities in South-Kivu. Meetings between IMF and small-scale farmers associations will be organised to develop financial options such as micro-loans adapted to small producers regarding the time schedule for reimbursement and interest rates. Adequate and flexible financial systems such as AVEC and resilience funds will be promoted by the project to facilitate access to micro-loans.

Component 3: UPSCALING: Institutional and funding capacity to upscale FLR at the Provincial and National levels

126. Component 3 will be focused on strengthening the capacity of government and non-government partners to adopt the FLR approach and to increase the financial flow at the national and provincial levels to fund FLR interventions. Firstly, both technical and functional capacity needs of decentralised government and local Chiefs to implement the FLR approach will be addressed. The coordination mechanisms between government institutions from all sectors related to FLR will be strengthened to enable knowledge sharing on the implementation of restoration interventions and coordination of all the initiatives undertaken in South-Kivu during and beyond the project. The capacity to monitor all on-going activities affecting positively and negatively natural resources will also be increased for the civil society and the government through the establishment of an independent observatory for South-Kivu. Last, domestic and international sources of funding will be strengthened to increase the future allocation of funds through increasing the focus on Forest and Landscape Restoration interventions within investment frameworks.

Outcome 3: Institutional and financial capacity is strengthened to enable implementation of FLR in South-Kivu Province and at the country scale

Indicators:

i) # of investment plans, strategies and action plans that include FLR in their set of interventions
ii) # of bankable projects developed & submitted (according to the scorecard matrix)

Targets:

i) At least two investment plans, strategies or action plans (e.g. FONAREDD investment plan, REDD+ strategy, NDC strategy under the Paris Agreement) include FLR in their set of interventions
ii) Four bankable projects

Output 3.1: Training events on best practices and methods for planning, implementing and monitoring FLR organised for government and non-government entities in South-Kivu

127. The training contents will be developed based on the identified capacity gaps. According to the needs pre-identified during the project preparation phase, the technical training provided under Output 3.1 will mainly focus on: i) principles and use of APFS approach to disseminate sustainable practices for the management of natural resources at the local level and evaluation of interventions; ii) use of specific tools to calculate carbon sequestration and emission (e.g. EX-ACT); iii) terracing methods and other erosion-control methods and iv) planning and undertaking monitoring and evaluation through the use of recognized methods/tools such as Land Degradation Assessment in Drylands (LADA), Restoration Opportunities Assessment Methodology (ROAM), and Collect Earth Open Foris (CEOF) and its application

Collect Mobile. Technical guidelines will be developed together with the training sessions to maximise the efficiency of these multiple capacity building events and to enable people not participating to the training events to learn on the best practices and relevant methods/tools promoted by the TRI child project in South Kivu.

Institutional capacity building will also be undertaken based on the needs identified. This capacity building will focus on supporting the institutions to have all the systems in place to work efficiently and meet their goal, starting with defining clearly the role and responsibilities of each actor towards meeting the objective of the institution. For example, the project interventions will support the Provincial Consultative Council on agriculture in fulfilling its role regarding grouping all public, private actors as well as local communities involved in the agricultural sector therefore providing a collaboration framework on all questions related to agriculture and a platform for conflict solving. This will be done *inter alia* through reviewing and improving the institutional structure and providing management training.

128. Provincial authorities to be targeted by these training activities include *inter alia* Rural Councils for Agriculture Management[42] (CARG), Provincial Consultative Councils, Provincial Coordination of MEDD, DDD of MEDD, Provincial Inspection of Agriculture, Fisheries and Livestock Husbandry[43] (IPAPEL), Provincial Inspection of Rural Development (IPDR) and National Extension Services. The territorial authorities of Kabaré and Walungu, the Chiefs of Kabaré and Ngweshe Chiefdoms, the traditional authorities of the targeted and neighbouring groupings, NGOs and CoCoCos around the KBNP will also be targeted by these training interventions. Capacity strengthening of these committees – with a focus on increasing the number of members from indigenous communities – will increase opportunities for all community groups to improve their livelihoods. CoCoCos will play an important role in the maintaining good relationships between the government and local communities in the project sites throughout the implementation phase and in the maintenance of the project outputs beyond the project end.

129. Cross-sectoral coordination mechanisms for the management of natural resources, particularly forests, in South-Kivu will also be strengthen under Output 3.1. The coordination of a thematic group on forest and landscape management including the public sector, the private sector, active development partners and the civil society at the provincial scale will be supported by the project.

Output 3.2: An independent observatory led by the civil society to monitor FLR progress in South-Kivu

130. The TRI child project will support the establishment of an observatory in charge of collecting and analysing data on degradation as well as restoration efforts in the region and their effects. It will then report to provincial and national authorities of all relevant sectors. Annual workshops will be organised between the observatory, relevant government institutions and other stakeholders to share the information collected in the field. The observatory will be led by an independent institution such as a private university or a research institute. It will be the witness of FLR progress and negative trends leading to the degradation of natural resources in South-Kivu and will contribute to the monitoring of FLR progress beyond the project end.

131. To establish the observatory, consultations with the civil society, research institutions and universities will be undertaken to identify the most suitable hosting institutions for the observatory. The structure of the observatory, its role and responsibilities, and its priority action plan will be defined in a participatory manner. Small IT equipment and required softwares will be provided to the team of the observatory together with training on data collection, data analysis and independent reporting. Gaps in technical knowledge to monitor the positive and negative trends on ecosystems will be fulfilled through training. As a result, the civil society will have the tools to better integrate the protection of natural resources in their campaigns to protect local communities' livelihoods. Collaboration with the team of the

[42] Conseil Agricole Rural de Gestion
[43] Inspection Provinciale de l'Agriculture, la Pêche et l'Élevage

Miombo GEF project – which is also led by FAO – will be particularly important for the implementation of Output 3.2 in order to benefit from the lessons learned in Katanga.

Output 3.3: Four bankable, large-scale restoration projects submitted to appropriate funding sources

132. Under Output 3.3, existing funding sources at the national and provincial scale that includes the management of natural resources in their mandate will be reviewed. These will include the provincial branch of the National Forest Fund and the Mining Reforestation Fund. The project will support the identification of means of improvement with government stakeholders and will provide targeted support for their implementation. To improve the funding supply for the National Forest Fund and the Mining Reforestation Fund, support will be provided by the project to create a database of forest dwellers in the province and raise awareness of forest dwellers on the forest exploitation rules. Funding opportunities for restoration within the private sector will also be investigated with private company active in South-Kivu (e.g. PHARMAKINA, OLIVE, BANRO).

133. Private companies showing an interest for environment protection will be engaged to identify means to increase the funds from the private sector allocated to FLR.

134. In additional to national and provincial funding sources, international sources of funding for FLR will also be increased. For example, the national REDD+ investment plan will be updated to integrate better the multiple benefits of FLR interventions. Experts will be appointed to evaluate the potential for climate change mitigation (including co-benefits) through FLR interventions and support CAFI partners in strategic and investment framework planning. The REDD+ investment plan will then be updated with the National REDD+ coordination team with support from the project. To support the implementation of the investment plan, provincial institutions and key partners will then be supported in the development of bankable project proposals well aligned with the priority interventions identified in the updated investment plan for future submission to the FONAREDD. This will include undertaking with the trainee all the required calculations to justify the mitigation potential of the proposed projects such as assessing the carbon emissions to be avoided and sequestered thanks to the implementation of these projects.

<u>Component 4: KNOWLEDGE MANAGEMENT: Knowledge sharing on FLR, partnership, and monitoring and evaluation of FLR interventions</u>

135. The last component of the project will focus on sharing the knowledge generated through the implementation of the TRI child project on FLR interventions. Awareness-raising campaigns will be developed and implemented for pupils at the provincial scale, for students both at the provincial and national scales and for the general public at the provincial scale. A variety of approach and tools will be used from the implementation of tree nurseries in Junior Agro-pastoral Field School (JAPFS) to the development of documentaries on successful FLR interventions. A multi-stakeholders strategy for monitoring and evaluation of FLR interventions in South-Kivu will be implemented to generate knowledge on FLR. Thereafter, continuous sharing of knowledge and experiences on FLR will be promoted at the national scale between DRC provinces and at the regional scale with other countries facing similar issues (e.g. Rwanda).

Outcome 4: Awareness, long-term monitoring, and knowledge sharing on FLR interventions are increased to promote the sustainability and replication of the TRI child project interventions

<u>Indicators:</u>

i) # of TRI knowledge products developed, disseminated and accessed through relevant knowledge platforms
ii) Child project monitoring system established and providing relevant information to managers

Targets:

i) At least 2 university curricular chapters, 1 school curricula booklet, 2 short-documentaries, 1 pamphlet, 2 radio talks, 1 theatre play and 2 kids games
ii) One project-specific M&E system and one provincial M&E system for FLR interventions

Output 4.1: Awareness-raising events and education campaigns on the value of natural resources particularly forests implemented for pupils, students and adults in South-Kivu

136. Pupils will be the first community group to be targeted by the awareness-raising campaign. Communication tools will be developed on the importance of functioning ecosystems for people livelihood and health, climate change mitigation and adaptation and landscape restoration opportunities. These tools will be integrated by teachers into their teaching curses after receiving training on these tools through the TRI child project. In addition, the JAPFS approach will enable to raise awareness and knowledge of pupils on the sustainable management of natural resources. In the JAPFSs pupils will learn how to grow and maintain NWFP trees, and to benefit from them sustainably. Nurseries will therefore be established and sustainable management plans will be developed, using a participatory approach, in the targeted chiefdoms.

137. The education of future professionals on FLR will also be strengthened. After consultations with universities and technical training institutions such as ISDR in Bukavu, the Regional School for Integrated Management of Tropical Forests[44] (ERAIFT) and UCB, training modules on FLR adapted to the need of the targeted institutions will be developed and integrated into the education programmes. CAADP will be engaged in the development of these modules. Another relevant partner will be the African Forest and Environment Training Network[45] (RIFFEAC) based in Cameroon. Master students will also be encouraged to undertake the research thesis to complete their degree on FLR interventions, more specifically on some technical aspects of the monitoring and evaluation of the project such as erosion rate and soil fertility. Their research activities and fieldwork will be part of the M&E plan of the project and the sites selected for FLR interventions in the two targeted chiefdoms will be used for student fieldworks.

138. An awareness-raising campaign will be implemented to promote and support the FLR approach throughout the province. The content of this campaign will include: i) the role of natural ecosystems; ii) the existing laws for the protection of natural resources including forests and related penalties; iii) the existing laws enabling land-ownership for local communities including community-based and gender sensitive forests' management and iv) the project interventions and results. A diversity of communication tools will be developed to maximise the number and the diversity of people to be reached. The tools to be developed include: short documentaries made available online for broadcasting by local radios, newsletters, theatre plans and games. Guidelines will also be developed for communication agents and trainers on FLR. Dimitra clubs will also be a major vector for knowledge dissemination. The establishment of contracts between Dimitra Clubs and local radios will be supported by the project.

Output 4.2: A long-term Monitoring and Evaluation strategy implemented for FLR interventions beyond the TRI child project implementation in South-Kivu

139. In order to monitor medium-term and long-term benefits of the TRI child project and the benefits of other on-going and future restoration projects, a long-term Monitoring and Evaluation (M&E) strategy will be developed and implemented within MEDD. This system will go beyond the usual project M&E systems because in addition to monitoring the TRI child project interventions during its 5-year implementation period, it will monitor on-going and future restoration project during and beyond the TRI child project implementation phase. The full set of environmental, social and economic benefits of

[44] École Régionale d'Aménagement Intégré des Forêts Tropicales
[45] Réseau des Institutions de Formation Forestière et Environnementale de l'Afrique Centrale

ecosystem restoration will be monitored. The selected set of indicators will include indicators aligned with the Bonn Challenge Barometer of Progress[46] and the Guidance Document for a Framework for Monitoring Forest and Landscape Restoration jointly developed by FAO and WRI in 2017. This M&E strategy will be developed using a participatory approach will all the actors to be involved including among others the Directory of Inventory and Forest land-use of MEDD, Provincial Coordination of MEDD, IPAPEL, IPDD, the Civil Society through the independent observatory and local communities. As emphasised during the Validation Workshop, a clear definition of the role of each institution is crucial for this M&E system to become and remain functional beyond the implementation of the TRI child project in South Kivu. Consequently, the implementation arrangements of the M&E system will be clearly defined including for each task, the institutions in charge as well as one person responsible and one assistant within each institution. Each institution will have ToRs corresponding to their tasks and all these documents will be officially validated and endorsed by each institution. Within this system, local communities will be in charge of daily data collection on the ground including monitoring tree growth rate and health in reforestation sites, and transfer of these information for integrate in the M&E system. The required tools for data collection and storage will be provided as part of the project (e.g. GIS softwares, GPS, Collect mobile Application). Several tools will be used for efficient data analysis such as Collect Earth Open Foris, EX-ACT, capacity assessment and socio-economic household surveys. Corresponding training and equipment will be provided. This long-term M&E strategy will also enable to account for the fact that restored ecosystems can take up to several decades to reach full productivity. The knowledge generated through the implementation of the long-term M&E strategy will be a major source of information to prepare the communication material for the awareness-raising, education and knowledge-sharing events to be implemented under Component 4.

Output 4.3: Knowledge sharing events on FLR implemented at the national and regional scales to promote the replication of the project interventions in other territories and provinces within DRC

140. In Output 4.3, knowledge-sharing events will be organised at the national and regional levels to share the experience and lessons learned generated during the TRI child project implementation. Knowledge-sharing events between provinces will include field visit for decentralised authorities in provinces facing similar issues to the interventions sites of the project. Workshops will also be organised at the central level with the authorities of other provinces facing similar restoration issues

141. Knowledge-sharing events with neighbouring countries will be organised using the existing networks such as COMIFAC and South-South Cooperation with the support of the TRI global child project. Knowledge exchange will include: i) visits to other countries implementing similar interventions such as Rwanda and vice versa; and ii) regional workshops with other TRI countries facing similar problems to share FLR experiences. The annual meetings organised as part of the Global Child project will also provide a relevant platform for experience sharing between the TRI countries.

1.3.3 Project assumptions

142. The main assumption on which is based the TRI child project are:

- There are no major political changes that lead to a change in orientation of the national objectives and priorities during the project implementation phase.
- No land reform that goes against the interventions of the project regarding the sustainable management of natural resources is adopted during or after the project implementation phase. Land-tenure clarifications supported as part of the project interventions are sufficient to secure land-use rights of the project beneficiaries in the medium to long term.
- No major civil insecurity outbreak occurs during the project implementation phase.
- Competent national experts can be identified and recruited following a transparent process for all the project interventions.

[46] https://www.iucn.org/sites/dev/files/content/documents/2016/bonn-challenge-barometer.pdf

1.3.4 Cost-effectiveness of the FLR interventions of TRI child projects

143. Forest restoration is recommended under the United Nationals Framework Convention on Climate Change as a cost-effective approach to increase carbon storage and reduce carbon emission while supporting the sustainable development of local communities. Ecosystem restoration is an inherently cost-effective approach and ensuring cost-effectiveness of each intervention will be a core principle of the TRI child project. Indeed, the on-the-ground interventions will be designed using ROAM, which has the analysis of restoration costs and benefits as a core element in the priorisation of restoration interventions .

144. Ecosystem restoration interventions have the potential to provide benefits towards biodiversity protection, climate change mitigation and land degradation mitigation simultaneously. Adopting a landscape approach will enable to optimize the use of the funds thanks to the interdependence of the targeted ecosystems. For example, improved agricultural productivity will reduce the pressure on pastoral land and forest resources, and vice versa. In alignment with the landscape approach, the restoration interventions and the livelihoods development interventions will be developed jointly with the objective that each element supports another. The livelihood development interventions that will be supported by the project will be selected based on the cost-benefit ratio of the interventions as a mandatory criteria (see section 1.3.2 of the PD).

145. The benefits of restoration interventions through improved management of forest, agriculture and pastoral resources will significantly increase land productivity under a climate change scenario and generate net economic benefits. As an example, the cost-benefit analysis of improved grassland management interventions in Peru and Nepal resulted in a benefit:cost ratio of ~1.3 compared to the unsustainable business-as-usual practices that were leading to continuous economic loss (BCR lower than 1) . Even stronger results were obtained by the economic analysis of 2,000 case studies of restoration interventions in 9 different biomes. This analysis has demonstrated that restoration interventions in tropical forests, temperate forest, woodlands and grasslands have an Internal Rate of Return ranging from 20% to 60% and a benefit:cost ratio between 2:1 and 35:1. In other terms, forest and grassland restoration in this analysis systematically generated a financial profit . In addition, the TRI child project's interventions will have global benefits such as increasing carbon storage and biodiversity conservation that have not been considered in the aforementioned assessments.

146. To guide the development of future initiatives related to FLR, long-term monitoring of the benefits and cost-effectiveness of the project interventions will be promoted under Output 3.1. The results of these analyses will be made available at the provincial and the national scales to inform on-going and future interventions in the country (Output 4.3).

1.3.5 Stakeholder consultation and engagement

147. The project preparation phase was initiated by a project inception workshop on 15 November 2017 in Bukavu during which the outlines of the project were presented and discussed. The 70 participants of the workshop included the governor of the province, decentralised government authorities (e.g. IPAPEL, Provincial Assembly, Provincial Ministry of Mines, Hydrocarbons and Environment[47] – PMMHE, Provincial Ministry National Institute of Statistics), research institutions (e.g. CRSN-Lwiro, IITA), universities (e.g. Official University of Bukavu[48] (UOB), Evangelical University of Africa – UEA), local NGOs (e.g. Diobass), international partners (e.g. Caritas, GIZ, FAO, WCS, WWF, Union for Indigenous Women Emancipation, and UNDP), and representatives of the civil society.

[47] Ministère Provincial en charge de l'Environnement, des Hydrocarbures et des Mines
[48] Université Officielle de Bukavu

148. Following the inception workshop, two field missions have been undertaken by the national PPG team from 13 to 25 November 2016 and from 19 to 26 February 2017 respectively. These missions focused on the territories of Kalahe, Kabaré and Walungu (see Section 1.1.2). Two types of consultations were undertaken: one-on-one meetings with key institutions and focus groups to identify the priorities and concerns of local communities.

149. During the first field mission, meetings were organised with representatives of the following institutions: Provincial Coordination of MEDD; Provincial Ministry of Agriculture, Fisheries, Livestock Husbandry, Rural Development and Land Affairs[49]; IPAPEL; IPDR; Provincial Division of Planning Ministry; South-Kivu branch of the National Forest Fund; Environment, Peace and Development Network; CRSN/Lwiro; Superior Institute of Agriculture and Veterinary Studies[50] (ISEAV); National Extension Service; UCB; INERA-Mulungu; IITA-Kalambo; National Statistical Institute in South-Kivu; representatives of the Climate Working Group REDD+; Union for Indigenous Women Emancipation; Indigenous People Development Programme[51] (PIDP); South-Kivu Civil Society; Mothers Association for Development; Anti-Bwaki Committee; GIZ; and WCS. Local authorities have also been consulted including the Katana grouping's Chief (Kabaré Chiefdom), Kaherwa village's Chief, assistant for the development of Mushinga grouping, secretary of Cikerana sub-grouping (Lurhala grouping, Walungu Chiefdom). Other experts such as agricultural experts have been consulted to discuss specific questions.

150. During these meetings, the discussions focused mainly on:

- Selection of the sites to be prioritised: early-on during the first meetings, the territories of Kabaré and Walungu stood out as the priority areas;
- Main land degradation issues faced in the area;
- Main land conflicts/affairs issues;
- Local availability of government staff and functioning local associations;
- Activities undertaken by other partners in the area such as GIZ;
- Priority interventions;
- Experience in agroforestry, species use and successes, and availability of seedlings and saplings;
- Gender situation and issues; and
- Update on the policy documents in the pipeline.

151. During the second field mission, additional consultations were organised with: the NGO Support to Initiatives of Families Well-being[52] (AIBEF), the Mwami of Kabaré Chiefdom, the Mwami of Ngweshe Chiefdom, the Administrator of Kabaré territory, CNRS-Lwiro, Bugore Civil Society, the Administrator of Walungu territory and the Environment Supervisor of Walungu.

152. A workshop with 19 representatives of associations in Kabaré territory was organised on 22 February 2017. Similarly, a workshop was organised in Walungu with 44 representatives of associations in Walungu territory. Another workshop was organised with 25 representatives from Nyangezi territory. During these workshops, the priority sites, and the current land degradation situation and priority interventions, and potential restoration sites were pre-identified. Annex 7 was prepared based on the information collected during these workshops.

153. Field visits were undertaken in Masimangu to agricultural fields and to community-based nurseries (*i.e.* 22,000 Eucalyptus trees) managed by a women group with support from the Provincial Coordination of MEDD. Communities stated that their favourite tree species is Eucalyptus.

154. During project preparation, local communities were given the opportunity to express their needs, expectations and concerns regarding the project. Three focus groups were undertaken in Businga

[49] Ministère Provincial de l'Agriculture, Pêche, Elevage, Développement Rural et Affaires Foncières
[50] Institut Supérieur d'Etudes Agronomiques et Vétérinaires
[51] Programme de Développement du Peuple Pygmée
[52] Appui aux Initiatives de Bien Être Familial

grouping (i.e. in Ibambiro, Mubumbano and Itsonda) during the first field mission where communities expressed the main problems they face. At total of 43 people including approximately 50% of women participated to these focus groups. During the second field mission, two focus groups were organised in Kabaré (i.e. one focus group in Bughore grouping with Pygmy groups including 25 people among which 50% were women, and one focus group in Miti grouping) and three focus groups in Walungu territory. During these focus groups, communities expressed their priority needs. These include small inputs/equipment for agricultural activities (e.g. fertilizers, pesticides, watering cans), support for erosion control, increase access to improved crop varieties resilient to sicknesses such as mosaic virus, technical and planning support for agricultural activities, support for the creation of cooperatives, and improve access to financial opportunities such as micro-loans. Last, they mentioned their need for more livestock, pharmacies to access veterinary care products, restore pastoral resources, support to raise livestock in stalls and support for the creation of cooperatives for pastoral products. One of the main concerns raised during all these focus groups was land-tenure. They are worried that these issues might prevent the project from raising sustainable benefits.

155. All the data collected during project preparation was integrated in the design of the project. As an example, the concern of local communities regarding land-tenure was addressed through the integration of a specific activities and allocation of corresponding budget to select the sites where these issues can be addressed during the implementation phase and address these issues in a participatory manner.

156. The involvement of the Mwamis from the project preparation phase is important because they own most of the land in the targeted areas. Their support is therefore crucial. The first meetings were encouraging. Both Mwamis fully support the project and are committed to allocate the required land to the communities to enable the implementation of the project activities as well as facilitating and catalyzing the implementation of the interventions including solving land tenure conflicts.

157. The project proposal was then presented to 60 participants on 19 May 2017 during the validation workshop held in Bukavu. All the participants – including the GEF National Focal Point – had the opportunity to give their opinion on the project institutional arrangements, components, work packages, proposed activities, targets and co-financing arrangements. Main conclusions of this validation workshop have been considered in the project document.

Grievance Mechanism

158. The main grievance mechanism that will be used during the project implementation phase is the Dimitra Clubs approach. Today, there are over 1200 Dimitra Clubs in DRC, set up in different programmes and projects, which contribute to rural people's empowerment through community mobilisation, and participation. The approach will serve as an entry point for community-based activities. These clubs will enable every community member to access information, raise their concerns, participate in the designing and planning of activities, ensuring accountability, transparency and ownership of the activities at community-level. Each local intervention site will have at least one Dimitra club. It will be ensured that all community members are made aware of this process during the awareness-raising events – to be implemented as the first step towards the establishment or strengthening of these clubs – to give them the opportunity to become members of the Dimitra Clubs. In addition, the PMU will undertake three missions in the field every year to held focus groups with local communities and give everyone the opportunity to express their opinion on the project and monitor the activities.

Disclosure

159. Disclosure of relevant project information helps stakeholders to effectively participate. FAO will disclose information in a timely manner, before appraisal formally begins, that is accessible and culturally appropriate, placing due attention to the specific needs of community groups which may be affected by

project implementation (such as literacy, gender, ethnicity, cultural habits, differences in language or accessibility of technical information or connectivity).

1.4 LESSONS LEARNED

160. The on-going Small-Grant Programme is DRC allocates a total amount of US$ 1,000,000 to US$ 1,500,000 per year from the GEF funds. The corresponding GEF focal areas are Biological Diversity, Climate Change Adaptation and Land Degradation. To date, the programme has targeted four provinces excluding South-Kivu (i.e. Kongo central, Kinshasa, Bandundu and Equateur). The average budget of each project is US$ 50,000. The current project focus on the community-based conservation of terrestrial and marine landscapes, intelligent agro-ecology in the face of climate change, promoting sources of energy that produce a low amount of carbon dioxide, and local alliances to management chemical products. The project is implemented by UNDP and executed by the DDD of MEDD. The institutional arrangements include a technical consultative group made of technical staff of NGOs, university representatives and government representatives from the relevant sectors. This small grant system is the closest to the micro-projects to be developed by the project. The successful projects implemented will be used as models for the implementation of Output 2.3 of the TRI child project.

161. The GEF-funded project "Community-based Miombo forest management in the south east Katanga" will inform the project on the efficiency of this approach for the sustainable management of forest resources. It is implemented by FAO and executed by MEDD with a budget of US$ 4,533,333. This project has the following objectives: i) promoting the sustainable management and the restoration of Miombo forest ecosystems to reduce carbon emissions induced by deforestation and forest degradation and ii) improving the sustainability of local communities' livelihoods through the commercialisation of fuelwood and NWFPs produced by sustainably managed forests. The implementation of this five-year project started in 2016. The lessons learned to date are limited. However, one of the first lessons is that awareness-raising is crucial and should be undertaken as early in the project as possible because the idea that local communities have regarding techniques to improve the management of natural resources (e.g. to increase soil fertility) can be different from the project[53]. The lessons learned from the collaboration with government institutions (i.e. Legal Service of MEDD) and Universities (i.e. the University of Lubumbashi) will be used for the implementation of the TRI child project. The lessons learned from the establishment of Miombo Observatory within the Agricultural Sciences Faculty of the University of Lubumbashi will also be of great value for the TRI child project.

162. Another project funded by GEF which is of great interest for the implementation of the TRI child project is the project for the "Sustainable Management of the Wildlife and Bush meat Sector in Central Africa". This project was implemented in Gabon, Congo Brazzaville, Central African Republic and DRC, and ended in May 2016. Its objective was to demonstrate that participatory wildlife management is a viable strategy for the conservation of forest ecosystem's functionality, integrity and biodiversity in the Congo Basin. To achieve this objective, four component have been implemented: i) improving the legal framework in all four countries for the development of participatory wildlife management; ii) developing and implementing the tools needed for participatory wildlife management; iii) strengthening the capacities of community managers and community support institutions for the development and extension of participatory wildlife management and iv) managing, monitoring and evaluation the project. Some of the lessons learned from the Bush meat project in order to succeed in implementing an efficient and sustainable participatory management systems for natural resources apply to the TRI child project: i) it is necessary to undertake an in-depth analysis at the onset of the project of all existing systems – including the less visible ones such as the traditional systems – instead of creating new ones, and to build a strong knowledge base of the existing resources (distribution and quantities), their exploitation and their importance in people livelihoods; ii) site-specific governance dynamics and participation levels of all community groups should be considered to implement an efficient participatory process; and iii) the

[53] Local communities prioritize the use of fertilizers, urea and Nitrogen-Potassium-Phosphorus (NPK) while the project promotes improved fallowing techniques and early bushfires.

management system should be flexible – and enable the processes to be revisited as often as necessary – rather than the classic scientific and rigid approach adopted by most projects[54].

163. Since the REDD+ process was launched in DRC (see Section 1.2.2), a number of lessons have been learned. Relevant lessons for the implementation of the TRI child project include the necessity to develop clear and detailed ToRs at the beginning of the process in order for all the actors to fulfil their role in the project implementation. Another lesson learned is that transparency is difficult to achieve when the governance including law enforcement and control is low. In addition, the final use of the project outputs beyond the project end have to be clearly defined upfront to avoid conflicts. The implementation of community development activities focusing on women can be efficient in reducing pressure on forest and empowering women. Supporting communities in forming associations enable them to express their needs despite the presence of armed groups that apply pressure on them. The ownership of the civil society regarding issues related to illegal exploitation of natural resources is increasing in the surroundings of Virunga National Park and positive results are being obtained. Last, Information, Education and Communication are key for the project's success.

1.5 ALIGNMENT AND STRATEGIC FIT

A. Alignment with national development goals and policies:

164. The project is aligned with the multi-sectoral and sectoral strategies and plans related to environment in DRC. The specific content of those documents with which the TRI child project is aligned is described in Table 6.

Table 6. Prioritisation of restoration interventions within DRC national strategies and plans

Document	Ministry in charge	Expected implementation period/Status	Main content relative to natural resources' management
Action Plan for Tropical Forests[55] (PAFT)	Environment	1990-1999	PAFT main objective was to improve forestry and forest management. To do so, 97 priority actions were identified among which 47 actions focus on community-based forestation and improved land use. The implementation of the PAFT has however been inefficient.
National Action Plan for Environment[56] (PNAE)	Environment	2002-2007 (Developed in 1997)	PNAE is the main document for environment planning. It focuses on addressing the problem of land degradation induced by demographic pressure, erosion and inappropriate agricultural practices, and unplanned urbanisation in rural and urban areas. Priority environmental actions were identified but they have not been implemented.
NBSAP	Environment	Developed in 1999 and revised in 2016	The NBSAP defines means to protect forest resources and biodiversity in order to implement the CBD. NBSAP was revised in 2016 for the period 2016-2020. The updated document focuses on: i) managing sustainably of protected areas; ii) reducing anthropogenic pressure on natural habitat; iii) increasing the benefits generated from the exploitation of genetic resources and Payment for Ecosystem Services and promoting sharing of these benefits in an equitable manner within local communities; and iv) restoration of critical

54 FAO/CIFOR/CIRAD, 2017. Communautés locales et utilisation durable de la faune en Afrique central. van Vliet N., Nguinguiri J. -C., Cornelis D. & Le Bel S. (éds), Libreville – Bogor – Montpellier.

55 Plan d'Action Forestier Tropical

56 Plan National d'Action Environnemental

			ecosystem services. However, the implementation of this strategy has not yet started in DRC.
National Strategy for Biodiversity Conservation in DRC Protected Areas[57] (SNCB-AP)	Environment /ICCN	2012	The objective of SNCB-AP is to ensure conservation and sustainable management of biodiversity within and outside DRC protected areas. Nine programmes have been developed. Some of the interventions identified are being implemented by GIZ, WWF and WCS among others. However, according to ICCN, more support is needed for the management on KBNP including *inter alia* mapping buffer zones, management plans, improving the sharing of conservation benefits with local communities
National Strategy for Community-based Conservation[58] (SCoCo)	Environment /ICCN	2008	The SCoCo promotes participatory management of natural resources for biodiversity conservation. In this way, both the needs for biodiversity conservation in protected areas and local community development would be improved. The 14 pillars aims to increasing involvement of local communities in the conservation of natural resources and promoting income-generating activities that improve livelihoods and biodiversity. Community Conservation Committee have been established to achieve SCoCo goal (see Section 1.3.2).
INDC	Environment	2015	RDC committed to achieve a reduction of its CO_2 emission by 17% by 2030, which corresponds to 70 Mt emissions avoided.
National Strategic Framework for REDD+ (2012), and Preparatory and Investment Plans to reduce carbon emissions in the forestry sector (2013)	Environment	2012	DRC government engaged into the REDD+ process in 2009. The Strategy promotes the sustainable land use and management to address the drivers of deforestation and stabilise forest cover while ensuring economic growth, increasing population income and improving livelihoods. The objective is to stabilise forest cover to 65% by 2030 and maintain it thereafter. It is divided into seven pillars: land management, land tenure, sustainable agriculture and forest exploitation, mitigation of the negative effects of deforestation and mining, promotion of renewable sources of energy, management of demographic growth, and governance improvement. Under the Preparatory and Investment Plan, 14 programmes have been identified for reforestation and afforestation to fight climate change. For example, Programme 7 focuses on forestation and reforestation of degraded and deforested areas. Programme 11 supports the development and management of intensive agriculture to rehabilitate old and recent plantations in savannas. Programme 12 will reduce the demand for fuelwood through improving the energy production strategies, and increase the sustainable production of fuelwood.
10-year National Reforestation Plan	Environment	1989-1999	This plan focused mainly on planting fast growing trees in vulnerable areas with low forest cover. The activities planned included the implementation of nurseries for approximately 50 species (local and exotic) in the Forest Center of Kinzono. Reforestation activities were also planned in Luki, Mayumbe and Mbanza-Ngungu (Kongo Central), Baraka and Bukavu (Sud-Kivu), Kananga (Kasaï Occidental), Lubumbashi

[57] Stratégie Nationale de Conservation de la Biodiversité dans les Aires Protégées de la RDC
[58] Stratégie Nationale sur la Conservation Communautaire

			(Katanga), Kikwit (Bandundu), Mbuji-Mayi (Kasaï Oriental), Kinshasa and Kinzono. However, political and social instability as well as an inadequate legal framework for the forest sector, these interventions have not been implemented and this 10-year Reforestation Plan was not renewed.
Second National Programme for Environment, Forests, Water and Biodiversity[59] (PNEFEB2)	Environment	2013-2023	The objective of this programme is environment protection and sustainable management of natural resources to maintain ecological, economic, social and cultural systems relying on them. The six pillars of PNEFEB2 include *inter alia* "Regeneration, reforestation, forestation and agroforestry" and "environment monitoring, climate change mitigation and valuation of environmental services". Based on PNEFEB2's implementation strategy, Provincial Programmes as well as Local Programmes for Environment, Forests, Water and Biodiversity should also be created. As part of the PNEFEB2 targets, a National Plan to restore the Forest Capital should be developed and implemented by 2018. In addition, best fuelwood transformation and use techniques are used by at least 50% of urban population by 2020. By 2023, at least 100,000 ha of forest capital is build or restored. For forest and agroforestry development, PNEFEB2 suggests the use of assisted natural regeneration techniques in highly degraded provinces and the duplication of MAMPU agroforestry models. Last, PNEFEB2 recommends the use of community-based forestry to promote the development of multi-beneficial plantations that produce fuelwood and NWFPs, and reduce erosion.
National Action Programme against Land Degradation and Deforestation[60] (PAN-LCD)	Environment	2006	The PAN-LCD describes the factors contributing to land degradation and deforestation as well as specific actions to be undertaken by DRC under the United Nation Convention to Combat Desertification, namely restoring degraded ecosystems and improving production systems. This document guides the interventions of government, NGOs and international partners. The TRI child project is particularly well aligned with Sub-Programme 2 "Capacity strengthening for improved land use and sustainable management of forest resources" and 5 "Perfect knowledge of ecosystems, reconstitution of degraded ecosystems, and improvement of production systems". The interventions identified in the PAN-LCD are to promote local species that increase soil fertility, other soil improvement techniques (e.g. compost, manure, mulch), and establishing multiple-use, living windbreaks. Limited interventions have been implemented to date because of gaps in the national policy framework to enable strategic and sustainable management of natural resources particularly land.
National Programme for Food Security[61] (PNSA)	Agriculture	2011-2020	The PNSA focuses on reducing food insecurity and improving community livelihoods through increasing productivity and income per household. PNSA objectives include: i) increase agricultural production through improved productivity, diversification of agricultural products and strengthening of production systems; ii) improve value-chains for agricultural,

[59] Deuxième Programme National Environnement, Forêts, Eau et Biodiversité
[60] Programme d'Action National de Lutte contre la Dégradation des Terres et la Déforestation
[61] Programme National de Sécurité Alimentaire

			animal (fish and livestock) and NWFP products through improved storage, preservation and processing methods; iii) improve access to subsistence products, their nutritional value and their sanitary condition; and iv) increase capacity of local communities in addressing all dimensions of food security issues within their household and their communities. The PNSA is the reference document for the relevant ministries to address the four dimensions of food insecurity, namely food availability, economic and physical access to food, utilisation of food items and the stability of the first dimensions over time.
Agricultural and Rural Development Master Plan[62]	Agriculture	1991-2000	The plan aimed to increase food security and combat poverty in rural areas through improving the agricultural sector.
National Programme to revive the Agricultural and Rural Sector[63]	Agriculture	1997-2001	The main objective of the programme was to collect information on the current state of the agricultural, livestock husbandry, fisheries and forestry sectors, and elaborate provincial programmes and action plans. An updated programme should be developed by 2018 to address the soil degradation problems faced in each province through the implementation of provincial action plans.
Master Plan for Rural Development	Rural Development	2003	The principal objectives of this Master Plan include: i) establishing the basic socio-economic infrastructure to facilitate the transportation of agricultural products and to develop renewable energies among others; ii) encouraging entrepreneurship among rural communities to improve livelihoods; and iii) promoting the development of local, hand-crafting production units.
National Plan for Agricultural Investment[64] (PNIA)	Agriculture	2013–2020	This plan is focused on supporting the growth of the agricultural sector to reduce poverty levels and unemployment, and increase food security. It is the national planning framework for national and international funds in the agricultural and rural development sector. It coordinates the on-going and planned programmes and projects in the sector. PNIA has five priority objectives, the fifth one is to reduce the vulnerability of the agricultural sector to climate change. Under this priority objective, Sub-Component 5.1 is to promote the integrated management of soil fertility, establish resilient agroforestry systems, improve watershed management including the implementation of erosion-control interventions, and support the REDD+ process (i.e. support natural regeneration of forests, tree planting on slopes against erosion and siltation of water bodies, implement community forests, and promote private and community-based reforestation activities).
Second Strategy Document for Growth and Poverty	Planning and Monitoring	2011–2015	This Strategy aimed at significantly improving community livelihoods while protecting the environment and combatting climate change to achieve the Sustainable Development Goals. It includes an environment pillar acknowledging that

[62] Plan Directeur de l'Agriculture et du Développement Rural

[63] Programme National de Relance du Secteur Agricole et Rural

[64] Plan National D'investissement Agricole

Reduction[65] (DSCRP)	of Modernity Revolution[66]		air, water and soil quality are crucial to human, animal and plant lives, and that communities face major environment problem and livelihood deterioration, ecosystems are disturbed and biodiversity is threatened. It is also recognize that low environment quality controls, low consideration of environment issues as part of projects design and implementation, absence of environmental monitoring and increasing number of strong sources of noise pollution all contribute to ecosystem degradation.
National Strategic Plan for Development, vision for DRC by 2050	Planning and Monitoring of Modernity Revolution	2016–2050	One of the seven pillars of this plan targets environment protection, sustainable development, and access to water and sanitation. Under this pillar, the main objectives regarding the environment are to establish a balance between the exploitation of natural resources and ecosystems protection, and to restore the environment in degraded areas.
National Strategy and Action Plan on Climate Change		2016-2020	This strategy promotes the integration of climate change into socio-economic development within all the sectors affected by climate change – such as agriculture, forests and energy – to improve community livelihoods and reduce CO_2 emissions by 17% by 2030. The four pillars of the strategy are: i) a multi-sectoral approach to climate change mitigation involving all relevant public and private actors; ii) implementing interventions for climate change mitigation and adaptation; iii) strengthening the development of innovations, research, and implementing existing and new technologies; and iv) developing a financial strategy.

165. These documents show the willingness of the government to improve the management of natural resources and move towards a more sustainable economy. However, the level of implementation of these strategies and programmes also shows that the institutional and financial capacity of the government in DRC is very limited.

166. The two main documents leading development in South-Kivu are described in Table 7.

Table 7. Prioritisation of restoration interventions within DRC national strategies and plans

Document	Ministry in charge	Expected implementation period/Status	Main content relative to natural resources' management
Strategy Document for Growth and Poverty Reduction in South-Kivu	Provincial authority of the Ministry of Planning and Monitoring of Modernity Revolution	2011–2015	This strategy was created to support the implementation of the DSCRP 2 at the level. The objective is to achieve by 2035 "a society of hope, able to take DRC to the human development level of middle-income countries and move towards the Sustainable Development Goals". The identified means of achievement of this objective are: i) strengthening governance, peace and government authority; ii) diversifying the economy, accelerate growth and promoting job creation; iii) improving access to social services and strengthening human capital; and iv) protecting the environment and mitigating climate change. One of the main challenges to be overcome is to

[65] Second Document Stratégique pour la Croissance et la Réduction de la pauvreté
[66] Ministère du Plan et Suivi de la Révolution de la Modernité

			reverse the current trend of environment degradation and carbon emissions induced by this degradation and deforestation.
5-year Plan for Growth and Employment in South-Kivu	Provincial authority of the Ministry of Planning and Monitoring of Modernity Revolution	2011–2015	This plan was created to support the implementation of the provincial strategy for the DSCRP 2. It was a fully decentralised management tool. It was divided in four components including a component on "environment protection and climate change mitigation. The objectives of the interventions under this component were sustainable management of forests, biodiversity conservation, environment protection, development of agriculture with low impact on forests, fight against the degradation of agricultural land, and promoting agro-ecology to increase production sustainably. This Plan was implemented with the support of GIZ as part of the PBF.

B. Alignment with international agreements or global targets on FLR:

167. DRC has ratified several international agreements that promote ecosystem restoration and with which the interventions and approach of the TRI child project are aligned. These agreements are described below.

- **Convention on Biological Diversity** ratified by DRC in 1994 and Aichi Biodiversity Targets (2010): Target 15 is: enhanced ecosystem resilience and the contribution of biodiversity to carbon stocks, through conservation and restoration, including restoration of at least 15% of degraded ecosystems, thereby contributing to climate change mitigation and adaptation and to combating desertification by 2020. This objective is integrated into the National Strategy and Action Plan for Biodiversity 2015–2020 that is currently under revision. Under this Strategy and Action Plan, Strategic Objective 2 focuses on reducing the pressure on natural habitat and Strategic Objective 7 is to restore degraded ecosystems to provide essential ecosystem services. The TRI child project will contribute to achieving these targets and strategic objectives through promoting the FLR approach in DRC, implementing landscape restoration in at least 4,800 ha in the targeted sites, particularly the buffer zone of KBNP, and reducing carbon emissions by 1,064,457 tCO2eq (direct impacts from FLR efforts and avoided deforestation in the buffer zone of KBNP in all the South Kivu province) and by 7,327,947 7,327,947 tCO2eq (indirect impacts from upscaling FLR efforts at provincial level and avoided GHG emission in the buffer zone of KBNP in the South Kivu province).
- The **Bonn challenge** aims to restore 150,000,000 ha of degraded and deforested land by 2020 and 350,000,000 ha by 2030 to contribute to the REDD+ process and to Aichi Objective 15. In 2014, DRC committed to restore 8,000,000 ha by 2020. At least 4,800 ha will be restored or under improved management in South-Kivu Province by the end of the TRI child project.
- **New York declaration on forests** (2014) according to which endorsers are committed to: i) reduce at least by 50% natural forest loss worldwide by 2020 and end the loss of natural forests by 2030 (Goal 1); ii) eliminate deforestation induced by the private sector to produce agricultural commodities and significantly reduce deforestation derived from other economic sectors by 2020 (Goal 2 and 3); iii) support alternatives to deforestation such as subsistence farming and reliance on fuelwood for energy (Goal 4); and iv) restore 150,000,000 ha of degraded forests and landscapes by 2020 and 350,000,000 by 2030 (Goal 5). The policy strengthening and awareness-raising interventions under Component 1 and 4 of the TRI child project will contribute to reducing current deforestation rates in DRC. In addition, alternative livelihoods based on the sustainable management of natural resources will be developed for 30,000 beneficiaries, and at least 4,800 ha of degraded forests and landscapes will be restored or under improved management by the end of the project in the targeted chiefdoms including areas in the buffer zone of KBNP.

- **United Nations Framework Convention on Climate Change** ratified by DRC in 1995 aims to slow down, stop and reverse the trend of forest cover and carbon loss to mitigate climate change. Adaptation to climate change is also promoted particularly in the forest sector. The IPCC recommends forest restoration as an efficient and cost-effective way to increase carbon storage and reduce emissions while offering opportunities for adaptation to climate change and sustainable development. The TRI child project will both contribute to climate change adaptation through the development of climate-resilient livelihoods, and to climate change mitigation through reducing forest loss and increasing land cover (reduction of carbon emissions by 1,064,457 tCO2eq (direct impacts from FLR efforts avoided GHG emission in the buffer zone of KBNP at the border of the two targeted chiefdoms) and by 7,327,947 tCO2eq (indirect impacts from up scaling FLR efforts at the provincial level and avoided GHG emission in the buffer zone of KBNP in all the South Kivu province) by the end of the project.
- The 10-year strategy (2008–2018) of the **United States Convention to Combat Desertification** creates an international partnership to reduce and prevent desertification, land degradation and droughts. The TRI child project will directly contribute to reducing desertification through improved management of forest, water and soil resources over at least 4,800 ha. It will also strengthen the policy framework regarding land management – particularly forest resources – for better management, monitoring and law enforcement in DRC.
- Based on the **Sustainable Development Goal (SDG) 15** Target 3, countries should combat desertification, restore degraded land and soil, including land affected by desertification, drought and floods, and strive to achieve a land degradation-neutral world by 2030. Through policy strengthening, capacity building and awareness-raising interventions for the sustainable management of forest resources using the FLR approach, the TRI child project will significantly contribute to achieving this SDG.

168. The TRI child project is also aligned with regional initiatives involving DRC.

- **African Forest Landscape Restoration Initiative** (AFR100) is based on the African Union Declaration (2015), which goal is to contribute to achieving the countries engagements regarding the Bonn Challenge, New York Forest Declaration and SDGs. It focuses on restoring at least 100,000,000 ha of deforested and degraded landscapes in Africa by 2030. AFR100 builds on the experience and results of TerrAfrica partnership in landscape restoration and is coordinated by NEPAD. FAO is officially a technical partner of AFR100 since its launch in December 2015. The TRI child project will contribute to achieving AFR100 target by 2030 through the restoration and improved management of at least 4,800 ha by 2022.
- **COMIFAC Convergence Plan 2015-2025** adopted in 2014 provides guidance for the sustainable management of forest ecosystems for COMIFAC members. It has six priority objectives, namely harmonization of forestry and environmental policies, management and sustainable value increase for forest resources, conservation and sustainable use of biological diversity, fight against climate change effects and desertification, socio-economic development and multi-actor participation and sustainable funding. In addition, three transversal objectives were defined: i) training and capacity strengthening; ii) research and development and iii) communication, awareness-raising, information and education. The expected results are to stabilize deforestation and forest degradation rate in each COMIFAC country, conserve National Protected Areas and Transboundary Protected Areas and improve communities' livelihoods. The TRI child project is fully aligned with this Plan and will contribute to achieving each of the priority objectives and transversal objectives of COMIFAC in DRC. In addition, Component 4 focuses on knowledge sharing on the experience gained in DRC through the COMIFAC network to benefit the other COMIFAC countries.

C. Alignment with GEF focal area:

169. The four integrated components of the TRI child project will contribute to the following Focal Areas Objectives:

- BD-4 Programme 9 Managing the Human-Biodiversity Interface (Outcome 9.1: Increased area of production landscapes and seascapes that integrate conservation and sustainable use of biodiversity into management): Under Outputs 2.1 and 2.2, a set of indigenous species that promote biodiversity and soil restoration will be planted in priority sites. The corresponding target of the TRI child project at the Objective level is at least 4,800 ha of land restored or under improved management. In particular, part of the project interventions will be implemented in the buffer zone of KBNP. These interventions aim to reduce the dependence of local communities – including indigenous communities – on natural resources within the park boundaries thereby preventing future degradation of KBNP natural resources. The project interventions are therefore expected to support biodiversity conservation in a section of 30,000 ha of the KBNP that is included in the two selected chiefdoms. In addition, under Output 2.3, training and equipment will be provided to promote the adoption of sustainable practices for the exploitation of natural resources. Last, CDP will be updated under Output 1.3 to support the sustainable management of natural resources including no-access zones.
- CCM-2 Programme 4 Promote conservation and enhancement of carbon stocks in forest, and other land use, and support climate smart agriculture (Outcome A: Accelerated adoption of innovative technologies and management practices for GHG emission reduction and carbon sequestration): The project interventions will contribute significantly to this CCM objective through the reforestation of at least 4,800 ha of degraded land. Another expected target is 1,064,457 tCO2eq emissions avoided/sequestered in targeted landscapes as a direct result of the project interventions. Furthermore, the awareness-raising and education campaigns to be implemented under Output 4.1 will promote an increase of carbon sequestration through improved management of forest resources beyond the project intervention sites. The corresponding target is to produce at least 2 university curricular chapters, 1 school curricula booklet, 2 short-documentaries, 1 pamphlet, 2 radio talks, 1 theatre play and 2 kids games. In addition, the adoption of improved technologies that increase carbon sequestration will also be promoted under Component 1 through the development of policies, programmes and development plans that integrate FLR. The corresponding target is that at least one policy in the forest sector (Provincial Forest Restoration Strategy and Action Plan), at least one in the agricultural or environmental sector (Environment provincial policy or provincial programme for sustainable agriculture development) and two Chiefdom Development Plans are drafted and in the process of being validated by the end of the project.
- LD-3 Programme 4 Scaling-up sustainable land management through the Landscape Approach (Outcome 3.2: Integrated landscape management practices adopted by local communities based on gender sensitive needs): The FLR approach will be promoted in all interventions of the FAO child project. The integration of FLR into policy frameworks will be increased under Component 1, stakeholders' capacity to use the FLR approach will be strengthened under Component 3, and awareness and knowledge on this approach will be raised under Component 4. These interventions will all be gender-sensitive. For example, the participation of women to each training and awareness-raising events will be monitored in order to reach a final target of approximately 50% of women participation. The on-the-ground interventions to be implemented under Component 2 will focus on the actual adoption of FLR practices by local communities. This will be measured as part of the M&E strategy. The corresponding gender-sensitive targets are 30,000 people including 50% of women are directly benefiting from project activities (including capacity building events and trainings). The effects of the adoption of sustainable management practices using an FLR approach on annual household income will also be measured. The target will be defined during the inception phase of the project.

- SFM-3 Restored Forest Ecosystems: Reverse the loss of ecosystem services within degraded forest landscapes (Outcome 5: Integrated landscape restoration plans to maintain forest ecosystem services are implemented at appropriate scales by government, private sector and local community actors, both women and men): In addition to the on-the-ground interventions to be implemented under Component 2 for the sustainable management of natural resources including forests which will contribute to this SFM Outcome, the project interventions under Component 3 will focus on building institutional and financial capacity to enable government institutions to implement FLR plans. By the end of the project, at least three investment and action plans will prioritise FLR interventions. The project will also support the development of at least four bankable projects and their submission to appropriate funding sources. The project-specific M&E system and one provincial M&E system for FLR interventions to be established under Output 4.2 will provide all the relevant tools and information to government institutions to identify and replicate successful interventions. Last, Output 4.3 will contribute to achieving this SFM Outcome through increasing knowledge sharing within DRC and between countries to further facilitate the development and successful implementation of FLR plans in and beyond DRC.

D. Alignment with FAO Country Programming Framework and FAO Strategic Framework

170. The project will contribute to achieving: i) FAO Strategic Objective 1 related to helping eliminate hunger, food insecurity and malnutrition; ii) FAO Strategic Objective 2 related to making agriculture, forestry and fisheries more productive and sustainable; and iii) FAO Strategic Objective 3 related to reducing rural poverty.

171. FAO started working with DRC in 1978. The activities of the country office have focused mainly on improving food and nutrition security. In the last two decades, FAO has also contributed to peace-building and reconciliation by supporting food production and strengthening agricultural livelihoods for vulnerable communities. The reference document for FAO interventions in DRC is the 2013-2017 FAO Country Programming Framework. The TRI child project will contribute the three priority areas of FAO in DRC. These priorities are: i) improving governance of agriculture, rural development, renewable natural resources and the environment, and improving humanitarian aid and crisis management; ii) developing the agriculture, livestock and fisheries subsectors by adopting a value chain and agribusiness approach; and iii) improving environmental protection and resilience to climate change.

172. Through its provincial, national and headquarter officers, FAO will provide technical assistance to the PMU and capacity building for the authorities involved in the management of natural resources, and enhance coordination amongst national and provincial actors and mainstream different restoration projects in order to achieve the Bonn Challenge, AFR100, INDC, REDD+ and PNEFEB2 targets. Another comparative advantage of FAO is that the organisation has extensive experience in the use of the Dimitra Clubs, FFS and JFFS approaches, which are key tools for the implementation of the TRI child project.

173. Thanks to the long-term, consistent support provided by FAO in DRC, a strong relationship was built with the government in DRC. This will provide a major advantage for the successful implementation of the project. In addition, FAO long-term presence in the country will encourage provincial and local institutions to maintain the projects outputs in the long term.

SECTION 2 – INNOVATIVENESS, POTENTIAL FOR SCALING UP AND SUSTAINABILITY

2.1 INNOVATIVENESS

174. The project and programme currently implemented in DRC are generally compartmented per sector with limited coordination between government institutions. The TRI child project will adopt an integrated approach that equally involves all the sectors that play a primary or secondary role in the management of natural resources in the targeted landscapes in the project implementation. To support this integrated approach within the TRI child project and for future projects, means to promote an integrated approach within the policy framework related to the management of natural resources will be identified and their implementation will be initiated.

175. Multiple projects in the countries have been unsuccessful or unsustainable because of insufficient buy-in by local communities. The project will use a bottom-up approach throughout the decision-making process for the implementation of the on-the-ground activities under Component 2. This will result in the ownership of the project by local communities. This approach will include addressing the worries of local communities such as insufficient clarity in land-ownership and land-use rights, and other worries raised during the implementation phase via Dimitra clubs or other meetings with PMU. In addition, the engagement of indigenous communities that has been insufficient in several recent programmes and projects such as the CoCoCo initiatives will be a particular focus of the TRI child project.

176. The experience in DRC regarding the development and implementation of community-based micro-projects is limited to the experience generated through the implementation of the SGP programme. This innovative approach will be demonstrated in South-Kivu province. It is an efficient approach to ensure ownership of local communities, which has been introduced in Latin America, Africa, Central Asia, Asia and North Africa, and was highly successful in Mongolia, Lebanon, Brazil and Haiti, amongst others. In addition, the use of RuralInvest is an innovation in the country. Training and demonstration on the use of this tool is expected to facilitate the selection of successful and sustainable micro-projects in DRC beyond the GEF-project sites and lifespan, to address efficiently rural poverty issue.

2.2 POTENTIAL FOR SCALING UP

177. South-Kivu was selected as the pilot province for the TRI child project. This province has important security problems and ecosystems are severely degraded. The set of interventions to be implemented under the TRI child project in South-Kivu – including the improvement of the policy framework, capacity building and demonstration of improved practices for the management of forest, agricultural and pastoral resources – aims to demonstrate the use of an integrated approach (i.e. FLR approach) for improved management of natural resources in a difficult province and promote their replication by the government to other provinces. To do so, knowledge- and experience-sharing will be a major focus of the project at the national, provincial and local levels. Regarding the financial capacity to upscale the GEF-funded interventions, the financial resources allocated to the restoration of forest landscapes both from national (e.g. National Forest Fund) and international (i.e. REDD+ fund named FONAREDD) funding sources will be increased under Component 3.

178. Policy framework improvement and training undertaken at the provincial scale will support the upscaling of the interventions implemented in the selected chiefdoms within South-Kivu to other provinces. Technical guidelines will also be developed and disseminated to facilitate the uptake of improved practices by government and non-government staff outside of the selected chiefdoms. At the local scale, APFS and Dimitra clubs will also promote the dissemination of the improved practices to local communities beyond the project sites.

2.3 SUSTAINABILITY

2.3.1 Environmental Sustainability

179. The project will be implemented in a province where natural resources are severely degraded. All the interventions of the project will work towards creating an enabling environment to maintain healthy ecosystems, promoting socio-economic development through the sustainable use of natural resources thereby reducing the pressure on natural ecosystems, and protecting areas of high conservation value. Environment benefits will include increased carbon storage, reduced erosion, increased soil fertility, decreased pressure on forest resources, and increased biodiversity. The interventions of the TRI child project will be developed in a participatory manner to create ownership of the project by local communities and local authorities. This is the primary element to promote the maintenance of the project outputs in the long term. Institutional and technical capacity building of community structures – including community associations, groups and clubs – will further increase communities' ability to benefit sustainably from the interventions. In addition, the CoCoCos will be strengthened to maintain communities' awareness on the importance of biodiversity and promote community-based conservation interventions. As part of the project interventions, all the required frameworks and processes will therefore be established to enable the environment benefits generated by the project to be maintained in the long term.

2.3.2 Gender Equality

180. Gender disparity exists at three levels in South-Kivu: education, work and social participation. Access to school starts to be difficult for girls from secondary school. Indeed, the ratio of the number of girl divided by the number of boys is 91.5% in primary school (i.e. nine girls for 10 boys) while it drops to 55.5% (i.e. six girls for 10 boys) in secondary school. At university, this ratio is 8.6%, which corresponds to approximately one girl for nine boys. In total, the average number of years of education for women is 5.7 while it is 7.2 for men. The level of literacy is also significantly different between women and men with 36.2% and 48.2% respectively[67]. Poverty, pregnancy and early weddings are the main causes for girls to abandon school. Regarding marriage, the family of the young man has to give a dot to the family of the young girl. This dot is usually discussed between the two families in term of number of cows but is sometimes converted into money (generally US dollars).

181. The disparity in access to education has an impact on women access to formal work. Women are almost absent from the formal public and private work sector. 97% of women work in the informal sector compared to 85% of men. 2.4% of women therefore receive a regular salary with an official work contract. Executive positions are occupied mainly by men (i.e. 4% of men in executive position and 0.1% of women). Women participation to politics is very low in DRC. Women generally have precarious positions with low remuneration. For example, 44% of working women are house workers[68]. The average monthly income for working women is 15 US$ and 20 US$ for men. As a consequence, women have lower access to economic opportunities because they cannot meet the requirements to access micro-loans. Another constraint is to obtain authorisation from their husband. Decision making in the household is generally the role of men, women are rarely involved.

182. Within the two chiefdoms targeted by the TRI child project, men and women have different roles. Women are responsible for meeting the primary needs of the family. They work mainly in agriculture (i.e. 80% of women in some groupings of the province), livestock husbandry, forestry and food production for the household. This includes collecting wood or charcoal for cooking. It is estimated that 25% of charcoal

[67] PNUD – Unité de lutte contre la pauvreté, March 2009. Province du Sud Kivu, Profil Résumé – Pauvreté et Conditions de vie de Ménages

[68] PNUD – Unité de lutte contre la pauvreté, March 2009. Province du Sud Kivu, Profil Résumé – Pauvreté et Conditions de vie de Ménages

producers are women in the targeted areas. Women are therefore a major actor in the degradation of forest and soil resources. Men – as the head of the household – are involved in all the income-generating activities of the family. They are also responsible for a large portion of natural resources degradation through the exploitation of wood for building, mining and agriculture. Women are also involved – to a lower extent – in income-generating activities such as the processing and selling of their production.

183. Regarding gender equity in the policy framework, the Family Code in place states that women has to ask for the permission of her husband to be allowed to undertake paid work. However, according to the Constitution, women have all rights, similarly to men. Based on one-on-one consultations during project preparation, the situation for women in rural families in the project area remains difficult. Women do most of the work in the agricultural fields, take care of the house, sell the agricultural products, and cook for the household, while men have little or no involvement in these activities. This was confirmed during the consultation of a women association in Masimangu. According to this consultation, men do not work in the agricultural fields. In this site, men do hand-crafting and bricks production. In other sites, they also work in livestock husbandry, bee-keeping and aquaculture.

184. During the focus groups undertaken as part of the project preparation phase, it was acknowledged that women have an important role in the degradation of natural resources (e.g. through the collection of fuelwood) and should therefore be strongly engaged in the restoration interventions of the project. For example, it was suggested to give the management of nurseries to women associations as well as schools. Promoting improved cook stove would also both reduce forest exploitation and improve women livelihoods. In addition, as a result of limited access to income generating activities, financial opportunities and social participation, women are particularly vulnerable to environment degradation and climate change. Similarly, Pygmy women face multiple challenges. Their access to land and financial opportunities is very low as well as their integration in community-based activities. As a result, they rely strongly on natural resources such as NWFPs for subsistence and income, which the availability thereof is decreasing because of ecosystem degradation. They are therefore particularly in need of the project interventions.

185. The activities undertaken by the project to maximise community participation will use a gender-sensitive approach. The use of Dimitra Clubs' strategy will empower women through enabling access to information for all as well as increasing their opportunities to express their needs and priorities and to participate in decision-making processes at different levels. This approach has been successful in inducing behavioural changed regarding the roles of men and women in the community and the household, and in increasing women leadership in several provinces of DRC (e.g. in Tshopo Province). A condition for Dimitra clubs to be established and strengthened by the project will be that women make up at least 50% of the members. Information sharing through the network of Dimitra clubs will be complemented by the use of rural and community radios. Empowering women and youth through the Dimitra clubs is also expected to contribute to behavioural changes at the individual and community levels regarding gender and youth. According to the information collected, men and women themselves tend to underestimate their capacity. The project interventions will also build on the experience of existing women networks and associations in South-Kivu including Permanent Consultative Framework for Congolese Women[69] (CAFCO), Network for African Women working in Ministries and Parliaments[70] (REFAMP), Network for Women working in Congolese Enterprises[71] (REFEC), Gender network of Ministries, Gender Focal Point within the local government.

186. Considering that not all community members will be part of Dimitra clubs because participation is on a voluntary basis, awareness-raising campaign for the entire community will be implemented with women, men and youth on gender issues to further promote behavioural changes. The awareness-raising themes will include gender equity as well as women rights, which was raised as a knowledge gap particularly for Pygmy women. In addition, a particular focus will be given to environmental education for

[69] Cadre permanent de concertation de la Femme Congolaise
[70] Réseau des Femmes Africaines Ministres et Parlementaires
[71] Réseau des Femmes des Entreprises du Congo

women to transfer this knowledge to their children and give the appropriate example (e.g. no illegal wood harvesting or bush meat hunting for Pygmy women). This campaign will use a participatory approach to encourage brainstorming, promote exchange of ideas, and increase understanding of each other.

187. Income-generating activities that are specifically suitable for women needs and lifestyle will be selected using a participatory approach. Furthermore, as part of the project, women – including Pygmy women – access to financial opportunities such as micro-loans will be increased. To ensure the increase of women capacity as well as men, training programmes delivered by the project will ensure that at least 40% of the participants are women. The project interventions will therefore contribute to improving their productivity, income, and living conditions.

188. The data collected as part of the M&E plan throughout the project implementation phase will be disaggregated by gender to monitor women participation and potential differential impacts of the project on female beneficiaries in all project activities. Women will make up at least 40% of the direct beneficiaries of the project. 50% of the micro-projects will be allocated to women associations. In addition, at least 40% of the PSC and LTMC members will be women.

2.3.3 Indigenous people[72]

189. In Kabaré Chiefdom, the main ethnic group is Bashi. However, Pygmy groups live in the groupings of Bugore (i.e. ~40,000 people) and Miti (i.e. ~240 people). Indigenous communities in Kabaré Chiefdom therefore represent ~11 % of the total population[73]. Pygmies have been pushed to move to forest areas around the XIX centuries at the arrival of Bashi communities. No demographic data and statistical data on Pygmy groups are available. There are no indigenous communities in Ngweshe Chiefdom.

190. According to the consultation with PIDP, access to land is limited for Pygmy groups and when land is allocated it is done through a renewable contracting system (i.e. Kalinzi) for Pygmy groups, which is a precarious contract, often seasonal. Low availability of land for Pygmies was also emphasized during the focus group in Miti grouping. This limited access to land results in low income, food insecurity and malnutrition. In addition, based on these consultations, it is difficult to identify households that could be supported by the project because they do not have land available for their exploitation. Because of this limited access to land, Pygmies often work for Bantu community members. Their own economic activities are mainly small livestock husbandry, the production of improved cook stove made in clay and hand-crafting activities. Based on the focus group with Miti grouping, other activities within Pygmy groups include trying to find day jobs in neighbouring communities, collecting left-over agricultural products such as sweet potatoes and beans in agricultural fields, collecting wood stick in tea plantations, and collecting dead wood or cutting wood within KBNP. They often rely on resources from KBNP – which belongs to them according to their belief – for their livelihoods. In addition, they are often isolated therefore reducing their access to basic social services and their opportunities to participate to community-based activities. Last, Pygmy groups have almost no access to financial opportunities.

191. Because of the nomadic lifestyle of Pygmy groups, agriculture is generally not the most appropriate income-generating activity to be promoted by the project, except in some specific sites where they have asked for support in the production of agricultural products (e.g. chilli, aubergine). Based on the consultations undertaken during project preparation, Pygmy groups are mostly interested in receiving support for the production of NWFPs. They will therefore be supported for the sustainable production of NWFPs including the establishment and management of nurseries for tree production. The Union for Indigenous Women Emancipation also suggested to provide them support for the fabrication of bricks and improved cook stoves. Further consultations will be conducted at project inception with Pygmy

[72] Indigenous peoples is the internationally agreed term (United Nations Declaration on the Rights of Indigenous Peoples) and it encompasses tribal peoples, natives, First Nations, pueblos originarios, pueblos autóctonos, nomadic and pastoralists, aboriginal and traditional peoples.

[73] These estimates are based on the Chiefdoms' reports of 2015.

groups to finalise the selection of the value-chains to be supported to increase sustainably their income. The access of indigenous communities to financial opportunities will also be increased under Output 2.3 through identifying and strengthening financial systems adapted to their needs and capacity.

192. Opportunities of indigenous communities to access land will be investigated and strengthened. For example, the attribution of community-based forests' titles to indigenous groups will be promoted where appropriate. Consultations with the Mwamis will also be organised to identify ways to increase access to more secure land rights for indigenous communities, through Bugule contracts for example.

193. Pygmy groups will be engaged in the reforestation, leaving fence plantation and agroforestry interventions. Their traditional knowledge on plant species will be very valuable to implement interventions that maximise the benefits generated by the planted species, support the maintenance of their culture and traditions, contribute to biodiversity conservation through promoting indigenous plant species, and ensure their long-term support of the interventions.

194. The Dimitra clubs and APFSs to be strengthened and created under the TRI child project will have to include indigenous community members as part of the requirements to receive support from the project. Existing associations of Pygmies at the local scale will also be supported under Output 2.3. Furthermore, the capacity of the Union for Indigenous Women Emancipation will be strengthened under Output 3.1. The set of communication tools developed under Output 4.1 will be designed in order to reach all community groups including Pygmies. Their awareness on climate change, adaptation and mitigation opportunities and existing rights for access to land among other themes will therefore be strengthened to empower them.

195. The Union for Indigenous Women Emancipation will be a major partner to succeed in the implication of indigenous communities in the TRI child project. To date, the Union for Indigenous Women Emancipation has participated to several projects undertaken within and on the surroundings of KBNP. For example, the Union for Indigenous Women Emancipation supported the dialogue between indigenous communities and ICCN. Similarly, the Union for Indigenous Women Emancipation supported the establishment of nurseries, the adoption of agroforestry techniques, the planting of living fences, the implementation of natural assisted regeneration activities, and fodder cultivation in line by local communities including indigenous communities. This was part of a REDD+ pilot project. An IUCN project in the hinterland of PNKB also benefited from the Union for Indigenous Women Emancipation support for the restoration of soil fertility by indigenous communities and climate change mitigation interventions. This experience will be greatly beneficial for the implementation of the TRI child project. Other associations which have the confidence of Pygmy groups in the targeted areas will be involved in the interventions of the TRI child project.

2.4 HUMAN RIGHTS BASED APPROACHES (HRBA). INCLUDING RIGHT TO FOOD, DECENT WORK, ACCOUNTABILITY TO AFFECTED POPULATIONS

196. Considering the challenges faced in the country regarding land tenure that hinder sustainable land use, the TRI child project will contribute to improving **clarity and sustainability of land-use rights** rather than property rights. These land-use rights will target forest, agricultural and pastoral resources. Both individual and community land-use rights, on land owned by the Mwami or the state, will be investigated in each case to select the land-tenure systems that is best adapted to local conditions and needs.

197. The **participatory and community-driven approach** adopted in every aspects of the project will enable to generate the right incentives for government and local communities to ensure the success of the project and promote its sustainability. A trade-off between environment concerns, national priorities and community needs was found in the design of the GEF-funded activities to enable the project global objectives to be reached while generating direct benefits for local communities. Through these

approaches as well as the institutional and technical capacity strengthening and awareness-raising interventions, local communities will be empowered to assert their rights and identify sustainable livelihood solutions across their landscapes beyond the project.

198. The TRI child project will support the development of sustainable income-generating activities for vulnerable rural communities particularly those relying on natural resources for their subsistence and income. This will contribute to achieve the right to **decent work** for rural people. Job opportunities will be created through the direct reforestation and restoration interventions of the project, as well as through promoting sustainable agricultural and pastoral practices that increase soil productivity. Community-based micro projects for the development of improved income-generating activities based on the sustainable management of natural resources will be designed and implemented by local communities with support from the project. The cost-effectiveness, cost-benefit ratio and sustainability of these projects will be evaluated as part of the selection process, together with the vulnerability of the applicants which will enable to target the most vulnerable groups including women and indigenous communities.

2.5 CAPACITY DEVELOPMENT

199. Capacity development is a major component of the TRI child project, which focuses on providing all the required tools from the provincial to the local levels for the implementation of FLR at the large scale beyond the project lifespan. A diversity of tools will be used to provide training to the government stakeholders, NGOs, research institutions, community associations, and community members. The training needs pre-identified during project preparation will first be refined using a participatory approach during workshops with the groups targeted by the training sessions. Institutional training will be organised during workshops from the provincial to the local levels. Technical training will be provided during theoretical workshops, learning-by-doing training sessions, APFSs, exchange visits to sites where a specific practice is already being used, and through exchange visits between Dimitra clubs.

200. The efficiency of the training sessions at the local level will be assessed by monitoring the implementation of improved practices and measuring the results in the field. The national monitoring and evaluation system initiated by the TRI child project will enable to monitor these results and other restoration interventions throughout South-Kivu in the long term thereby increasing the knowledge generated from the project implementation beyond the end of the project.

201. The policy strengthening interventions will contribute to create an enabling policy framework for FLR thereby promoting the application of the skills and experience acquired during the project implementation phase to other territories and provinces. This will also be facilitated by the development of knowledge products and knowledge sharing systems, and the training provided on proposal development together with the activities focused on increasing the financial capacity for FLR interventions in DRC. Increased budget allocated to FLR and the number of bankable proposals to be developed and submitted to existing funds (e.g. FONAREDD) will be measured as part of the indicators of the TRI child project.

SECTION 3 – INSTITUTIONAL AND IMPLEMENTATION ARRANGEMENTS

3.1 INSTITUTIONAL ARRANGEMENTS

3.1.1 Roles and responsibilities of main institutions

202. Multiple ministries are involved in land management including: MEDD; MATUH; MINAGRIPEL; Ministry of Public Work and Infrastructure; Ministry of Land Affairs; Ministry of Energy; Ministry of Transportation and Communication; Ministry of Internal Affairs; Ministry of Mines; Ministry of Planning; and Scientific Research. To coordinate the interventions of these ministries on environment matters, a **National Committee against Land Degradation and Deforestation**[74] (CNULD) was created via ministerial order in 2004. This technical and administrative entity is based under the General Secretariat of the MEDD. The responsibilities of CNULD are to: i) ensure the coordination and monitoring of the interventions linked to the convention by all groups (e.g. government and private institutions, universities, NGO, community associations); ii) review and organise workshops to discuss reports, and project and programme proposals addressing land degradation and deforestation; iii) participate to all coordination activities between the three Rio conventions and other relevant conventions; iv) support decision-making processes on land degradation and deforestation issues; and v) implement decentralised committees from the provincial to the community levels. The CNULD is not well functioning because of shortages in staff, equipment and financial capacity. Thereafter, the **National Council for Environment and Sustainable Development** was created in 2011 by law under the Prime Minister. Its main missions are to define and implement the National Environment Policy, and design sectoral plans and programmes for the environment. It is the main cross-sectoral coordination mechanism.

203. The main entities and institutions that will be involved in the implementation of the project are presented in the table below:

Table 8. Main government and non-government entities to be involved in the implementation of the TRI child project

Institutions	Mandate	Role in the implementation of the TRI child project
Government representatives/institutions		
Governor of South-Kivu	Highest authority of the province. Agricultural and erosion-control interventions on slopes are undertaken over 50 ha in Nyangezi (Walungu Territory).	The governor will be consulted throughout the implementation phase to ensure his support for the project and contribute to coordinate the different institutions to facilitate the implementation of the project interventions.
DDD of the MEDD	The MEDD was created in 1975 to promote and coordinate all activities related to environment, nature conservation and exploitation of forest and aquatic resources. It is also in charge of ensuring the protection and good management of water and forest ecosystems, the creation and good management of protected areas and reserves, and healthiness of human environment to prevent problems linked to water, soil and air pollution for fauna and flora protection. It is also in charge of implementing – in collaboration with other	Supervision, and monitoring and evaluation will be the responsibilities of the MEDD regarding the TRI child project implementation. The Project Steering Committee meetings will also be led by this institution. In addition, MEDD will be responsibility for controlling that policies and regulations regarding the sustainable management of natural resources are followed in all project interventions.

[74] Comité National de Lutte contre la Dégradation des Terres et la Déforestation

	public and private institutions – the National Environment Policy, and coordinating the sectoral policies related to environment.	
DIAF of the MEDD	DIAF undertakes forest inventories, elaborate land-use and forest management plans, and monitor and evaluation forest cover using remote sensing.	DIAF will participate to initial identification of land use and mapping of the different forest types, and will also be involved in M&E interventions.
Legal Service of the MEDD	It develops the laws and regulations in the environment sector.	This Service will play a major role in the interventions under Component 1 regarding strengthening the policy framework.
Provincial Coordination of the MEDD in South-Kivu	The Provincial Coordination is responsible for fulfilling the role of the MEDD at the provincial level including the coordination and monitoring of on-the-ground activities in the province. Part of its activities is the development of agroforestry in a 300 ha state land in Walungu.	The Provincial Coordination will support the implementation of the TRI child project on the ground. It will have a major role in information sharing and environmental education. It will also assist the project in the identification of service providers and partners needed for the project implementation. The PMU will be hosted by the Provincial Coordination of the MEDD, and will therefore take all the required dispositions to provide office space and furniture for the PMU.
Ministry of Agriculture, Fisheries and Livestock Husbandry (MINAGRIPEL) via IPAPEL	IPAPEL is in charge of coordinating all the interventions in the agricultural, fisheries and livestock-husbandry sectors, and of implementing the corresponding sectoral Law, Strategies and Plans including PNIA at the provincial level. The promotion of agricultural, fish and livestock products, and controlling the respect of sanitary norms are also part of IPAPEL mandate. Last, it implements planning and monitoring mechanisms for all agricultural, fisheries and livestock-husbandry interventions and provide support for investors in these sectors. CARG are the decentralised structures of MINAGRIPEL at the local level.	IPAPEL will provide technical and organisational support to the beneficiaries particularly for the adoption of sustainable agricultural practices during the implementation of the on-the-ground interventions. CARG will also support the development of the guidelines and the implementation of the interventions related to agriculture development, agroforestry, erosion control and reforestation at the local levels.
Provincial Ministry of Rural Development via the Rural Development Inspections (IPDD)	IPDD focuses on elaborating and monitoring development projects in rural areas, and implementing the policies in this sector. This includes improving the organisation of the rural areas through the development of autonomous structures such as cooperatives, developing agricultural activities and connecting rural production zones to urban areas. As part its attribution, IPDD support women and youth associations.	IPDD will give strategic orientation and support the work with rural households to ensure their ownership of the project.
Provincial Coordination of the MATUH	The MATUH designs land-use plans, and monitor and control their implementation. It oversees the implementation of the national policies for improved distribution of human activities in the country.	The MATUH will participate to the elaboration of the micro-zoning activities, identification of the priority reforestation zones, local development planning and potential land-use conflicts in the TRI child project areas.
Provincial Coordination of the	This Ministry is responsible for applying Land Use and Property Laws. It manages and allocates property and land-use rights.	It will contribute to the analysis of strength, weaknesses and gaps in existing laws, defining the way forward, and solving Land Tenure

Ministry of Land Affairs		conflicts. It will also be involved in mapping and delineation of micro (0,5 to 5 ha) and macro (5 to 500 ha) areas for the implementation of the project interventions.
Provincial Ministry of Planning	The Provincial Ministry of Planning prepares, plans and monitoring the implementation of the economic and social development plan in the country. It is also responsible for ensuring that all funds and investments are aligned with the development objectives of the government.	This institution will be involved in the decision-making for the project implementation, and in the monitoring and evaluation of the TRI child project interventions.
Ministry of Mining	It manages, monitors and controls all mining activities in the country. It also managed the issues related to environment protection in collaboration with MEDD.	The Ministry of Mining will be involved in micro-zoning activities, identification of the priority reforestation zones, local development planning and the identification of potential land-use conflicts in the TRI child project areas.
Provincial Coordination of the National Service for Agricultural Inputs[75] (SENASEM)	Its role is to provide technical support in the production of agricultural inputs to technical staff and community associations. It also monitors the application of official production norms for input quality by producers.	SENASEM will be involved in the agricultural development interventions particularly regarding the interventions aiming to promote climate-resilient agricultural varieties.
Provincial Directorate of Statistics	This Directorate collects, analyses, publishes and disseminates all data necessary for decision making to government institutions as well as technical, research and financial partners.	It will be involved in defining the baseline situation for each intervention, and in the systematic data collection and analysis activities to be undertaken continuously during the TRI child project implementation phase for the monitoring and evaluation of the project.
National Extension Service	The main role of this Service is to disseminate all relevant information including in the agricultural sector to local communities.	It will be a major partner for the implementation of Component 2 and Component 4 of the TRI child project particularly for the knowledge-sharing on the project interventions and upscaling.
Research Institutions in Agriculture and Environment		
IITA in Kalambo	IITA focused on research to improve agricultural productivity in sub-Saharan Africa to combat poverty, malnutrition and natural resources degradation. In addition, IITA has implemented a lab to analyse soils and plants to support agricultural systems.	IITA will be a major partner for the development of guidelines and training material to support agricultural interventions of the project under Component 2.
INERA-Mulungu	This institution undertakes research in the agricultural sector at the local scale and produces local meteorological data. Its activities also include promoting seed production value-chain in the agricultural sector.	The TRI child project will collaborate with INERA-Mulungu for the design and implementation of the interventions for increase agricultural productivity. The TRI child project will also benefit from INERA-Mulungu's meteorological data.
University and Technical Training Institutions		

[75] Service National des Semences

UOB	UOB undertake research and provide training on the management of natural resources.	It will be involved in the biodiversity assessments to prioritise the reforestation sites and in the development of training support on the sustainable land management and reforestation.
UEA, UCB, UERHA, ISEAV-Mushweshwe	These institutions undertake applied research on environment and ecosystem restoration fields.	Their contribution will include sharing their experience, the latest research results and support the realisation of additional studies to fill in knowledge gaps in the intervention sites.
Cooperation Agencies and International NGOs		
FAO		It will work closely with the Provincial Coordination of MEDD, IPAPEL and IPDD to provide technical support to address capacity gaps of government institutions and oversee the implementation of the project interventions.
GIZ, Food for the Hungry (FH), WCS, WWF	[See Section 1.2.2]	Knowledge exchange and coordination for the implementation of the capacity building, policy-strengthening, and on-the-ground interventions. Opportunities for synergies between the TRI child project and the interventions of these institutions will be investigated at inception and throughout the project implementation phase.
OSFAC	The activities of OSFAC include *inter alia* providing satellite images to the countries in the Congo Basin, capacity strengthening in remote sensing and GIS, and monitoring forest cover at the regional level.	OSFAC will be involved in the capacity strengthening activities of the TRI child project in the fields of GIS and forest cover monitoring. It will also participate to design and implementation of the interventions regarding improving knowledge-sharing at the regional level.
WRI	WRI monitor forest cover at the global scale. It also provides support to government institutions and local communities for improved forest management. WRI on-the-ground interventions focus on improving communities' livelihoods, as well as on conservation, biodiversity and climate change mitigation.	WRI will participate to the design and implementation of the ROAM under Component 1 (Output 1.1) and planning at Chiefdom level under Component 2.
National NGOs		
Diobass, Action for Peace, Education and Development[76] (APED), NGO for the Promotion and Support of Community Development[77] (PADECO)	See Section 1.2.2	They will participate in the identification of pilot sites, households to benefit from the project, and support of local communities for the project implementation at the local level.

[76] Action pour la Paix, l'Éducation et le Développement

[77] Promotion et Appui au Développement Communautaire

Union for Indigenous Women Emancipation	See Section 2.3.3	This association will be a major partner to work with Pygmy groups, particularly women.
Anti-Bwaki Committee	See Section 1.2.2	The TRI child project will benefit from their extended experience in local communities organisation and mobilization.
Private companies		
OLIVE, PHARMAKINA, BANRO companies		Their experience in crops production and reforestation will be used for the design of the project interventions. They will also be involved in the implementation of the interventions relative to increasing the funds available from the private sector (CSR) for FLR.
Local communities representatives		They will be the main actors in the design and implementation of the project as well as the beneficiaries. They will participate in each step of the decision-making processes and implementation of the interventions.

3.1.2 Coordination with other initiatives

204. DRC is engaged in the REDD+ process since 2009. This process was led by MEDD with support from the United Nations Programme REDD and the World Bank. The National REDD+ fund (FONAREDD) was created in 2012 and is supported by Norway, the French Agency for Development, the African Development Bank and the World Bank. The **Central African Forest Initiative (CAFI)** is one of the financial alliances that support REDD+ in DRC since 2015. To date, a total of US$ 15,000,000 have been secured out of the US$ 200,000,000 promised by CAFI. Eight provinces have been selected to benefit from these funds. South-Kivu has not been selected yet because the priority was given to provinces with both the highest deforestation rate and the highest forest coverage. To date one project funded by FONAREDD is under implementation: the "Programme to finalize and Implement the National Forest Monitoring System in DRC". This project was initiated in January 2017 for a period of four years and with a budget of US$ 10,000,000. Three other projects are under development and will likely be funded by FONAREDD: i) Integrated REDD+ Programme for Resilient Development based on the Sustainable Sources of Income in Kwilu Province" (US$ 4,000,000); ii) the "Integrated Programme for the Equateur Province" (approximately US$ 20,000,000) and iii) the "Integrated Programme for Mongala Province" (US$ 4,000,000). As part of the interventions, a National Strategy for Land-Use will be developed as well as Provincial Land-Use Plans in the eight selected provinces. New provinces, including South-Kivu, should be eligible to the FONAREDD in 2018. Forest and Landscape Restoration was identified as a cost-efficient mitigation option to implement the REDD+ Strategy in DRC. The TRI child project will consequently support the government to better integrate this option within its REDD+ strategy investment framework. It will also provide support/guidance to CAFI partners and FONAREDD secretariat in integrating restoration options in their future investment plans in order to upscale national FLR efforts through several new cost-effective mitigation projects in DRC.

205. The NGO **Anti-Bwaki Committee**[78] is implementing an awareness-raising and community-engagement framework to help children suffering from malnutrition, and implement intervention to combat malnutrition of poor and unprivileged children. Their interventions include supporting farmers in the Bushi (including Kabaré and Ngweshe Chiefdoms) to create development committees for increase agricultural productivity. Their funding comes from *inter alia* the Belgium NGO Mutual Help and Fraternity[79] and German NGO MISEREOR.

[78] Local NGO « Comité Anti-Bwaki » fighting against malnutrition
[79] ONG catholique de développement Entraide et Fraternité

206. The **Diobass platform** in South-Kivu is funded by the Canadian International Development Research Centre, Fund for the Consolidation of Peace and GIZ (i.e. US$ 280,000, US$ 1,400,000 for Walungu, Fizi and Mwenga, and US$ 50,000 respectively). It is constituted by Local Development Associations and Initiatives and community associations. It plays an important role in the structuration of farmers in the grouping of Mushinga (Walungu Territory). The on-going activities of Diobass platform include strengthening local development initiatives, promoting collective management of natural resources, reforestation for the benefits of small private dwellers in Nyangezi to meet the demand for fuelwood from Bukavu city thereby generating income from land that is not suitable for agriculture, and promote fuelwood value-chain. As a result, multi-actor management committee for natural resources have been established in collaboration with *inter alia* local Chiefs, government staff and policemen who are in charge of overseeing their establishment and functioning. Good management codes, and roles and responsibilities of the actors have been defined together with technical guidelines.

207. **FH** is funded by USAID and is active in the territory of Walungu where interventions to increase food security, health, nutrition and the sustainable management of natural resources are being implemented. A five-year project was implemented by FH in the territory between August 2011 and July 2016. The main interventions of this project were the dredging of 914 ha of wetland to increase access to land for 13,000 agricultural households, and watershed protection over 385 ha through reforestation, construction of terraces and building of discontinuous infiltration canals. A second five-year project was initiated in October 2016 in the territory of Walungu with similar interventions. Close collaboration between the FH project and the TRI child project will be established to maximise synergy and knowledge sharing between the interventions in Walungu. In addition, wetland interventions have not sufficiently been accompanied with reforestation on hillsides to prevent sedimentation downstream which is an opportunities for complementarity.

208. The **WCS, WWF, Jane Goodall Institute and Union of the Gorilla Conservation Associations for Community Development in Eastern DRC[80] (UGADEC) consortium** focuses on the preservation of natural ecosystems. Their interventions include: i) the restoration of degraded ecosystems; and ii) training, education and awareness-raising of the population on environment including biodiversity, global warming, threatened species, pollution, fauna and flora industrial exploitation, sustainable development, sustainable management of natural resources among other themes.

209. **WWF** undertakes several projects in Eastern DRC. In South-Kivu, it is involved in the conservation of Grauer gorilla (*Gorilla beringei graueri*), Eastern chimpanzees (*Pan troglodytes schweinfurthii*), forest elephants (*Loxodonta cyclotis*), mountain forests, bamboo forests and salines in Malambo. WWF main intervention site is Itombwe Nature Reserve and its buffer zone where it promotes the participatory conservation of ecosystem services and biodiversity with local communities. To achieve this goal, WWF interventions in South-Kivu include strengthening the capacity of the civil society, ICCN and small-scale mining cooperatives. It supports local development structures such as community-based organisations and civil society organisation in the implementation of activities on reforestation, aquaculture, improved cook stove production, sustainable agriculture (i.e. development of demonstration sites for coffee and rice production), agriculture products transformation, development of solidarity funds, small and large livestock husbandry. Land-use management in villages and land-use conflicts resolution is also part of WWF focus in the area of Itombwe.

210. **UN-Habitat** is implementing a Community Participatory Land Use Planning project funded by the Department for International Development (UK) in North-Kivu, South-Kivu and Ituri. The main objective of this project is to resolve land-use conflicts. The project was launched in September 2016 for two years. A second phase will be implemented in Kalehe and South-Kivu. The experience gained by this project is securing land-use rights for local communities will be beneficial for the TRI child project.

[80] Union des Associations de Conservation des Gorilles pour le Développement Communautaire à l'Est de la RDC

211. The **Central Africa Regional Programme for the Environment[81] (CARPE)** is a long-term USAID programme that was initiated in 2002 to promote the sustainable management of natural resources in the Congo Basin. Seven countries including DRC are targeted by the programme. It is currently in its third phase CARPE III (2012-2020). The objectives of this third phase is the sustainable management of targeted forested landscapes, mitigation of biodiversity threats, establishing policy and regulatory environments to support forest and biodiversity conservation, and strengthening capacity to monitor forests, greenhouse gas emissions and biodiversity. It builds on the investments, results and lessons learned from the first two phases, and specifically focus on institutionalizing the conservation monitoring and management approaches developed in these prior phases. The TRI child project will also build on the experience of CARPE in DRC and in the region. The two selected Chiefdoms in South-Kivu are part of one of the eight priority landscapes considered by CARPE 3 (Maiko-Kahuzi-Tayna-Biega landscape).

212. **UN-women** is implementing a Project for Women to gain Autonomy through the adoption of Environmentally-Responsible Agricultural Activities. This project is promoting activities that support the reduction of inequalities between men and women. The project interventions include: i) organisational and technical capacity strengthening for women farmer associations; ii) awareness-raising on environmentally-responsible agricultural practices; iii) promoting the use of alternative sources of energy for the targeted women groups; iv) supporting research on improved production, processing and preservation of agricultural products to ease women work; v) promoting the adoption of income-generating activities through a Cash for Work approach to help overcome socio-cultural barriers; and vi) engaging women in the exploitation of NWFPs such as mushrooms, species, caterpillar and medicinal plants. The approach and experience of UN-women regarding women involvement in income-generating activities will benefit the implementation of the TRI child project and the implementation of the gender-sensitive approach.

213. Other interesting partners for the TRI child project are described in Table 9:

Table 9. Potential non-government partners for the implementation of the TRI child project

Institution	**Main objective/activities**
Caritas Development Bukavu	Improving livelihood opportunities for households through the development of small-scale exploitations to reduce poverty Contribute to transforming South-Kivu into a pacific province. Several projects (i.e. Tufaidike Wate, Mastch Fund 4, and Project for the reinsertion of demobilized ex-combattants) have been implemented with funding from Cooperative for Assistance and Relief Everywhere (CARE International), Catholic Agency for Overseas Development, Caritas International Belgium and Order of Malta Belgium, and USAID via the Congressional Research Service.
CRSN-Lwiro	Its interventions focus on improving access to land for local communities in pilot sites through the restoration of 500 ha of degraded ecosystems using a community-based approach in a pilot site and through training, education and awareness-raising of the population on environment
Harvest plus (funding from USAID)	Harvest plus distributes fortified subsistence crop seeds, attribute of fellowships at the Masters, Doctorate or other post-graduate levels, and support students to specialise in the environment sector.
APED	Support to nursery managers to grow agroforestry species to increase their income and promote agroforestry
PADECO	Support nursery managers and the communities surrounding KBNP to produce agroforestry seedlings
AIBEF	Support farmers from Walungu, Kalehe and Mwenga in adopting soya cultivation through *inter alia* promoting value-chains for subsistence and other crops,

[81] Programme Régional pour l'Environnement en Afrique Centrale

	improving communities' access to land, promoting savings in collaboration with the AVECs, and environmental education.
The Inter-Wetland Council of the Bushi[82] (CIM Bushi)	Assisting the small-scale farmers of Walungu, Kabaré and Kalehe in the dredging of wetland to increase access to agricultural land through reforestation, planting of leaving fences on hills and other interventions to reduce erosion (430 ha have been targeted in total to date)

3.2 IMPLEMENTATION ARRANGEMENTS

214. The MEDD will be responsible for the coordination of the project and the implementation of the interventions in collaboration with the relevant government institutions in the sectors of agriculture, rural development, land use, land affairs, planning and mining as well as decentralised authorities, NGOs, research institutions and partner projects. More specifically, the DDD of MEDD based in Kinshasa will be responsible for the coordination of the project and the Provincial Coordination of MEDD will be steering the implementation of the interventions. The Director of Sustainable Development will be responsible for the implementation of the project as the focal point of the project within the government without salary compensation. The DDD will be responsible for the achievement of the expected objectives and will participate to the procurement processes following FAO and GEF rules. It will participate to the implementation and good functioning of the multi-sectoral PSC that will be chaired by this Directorate (see Figure 5).

215. The MEDD through the DDD will support the provision of office space and furniture for the PMU at the provincial level in Bukavu, and will commit to cover the maintenance costs for the equipment and other expendables purchased by the TRI child project. At the end of the project, the maintenance of the GEF-funded products will therefore be funded on the national budget. Last, the Directorate will be responsible for maximising the benefits generated from the TRI child project through the dissemination of the best practices identified and experience learned.

216. FAO will be the GEF Agency responsible for supervision and provision of technical guidance during the project implementation. In addition, as requested by Government Partner (see Annex 13), FAO will provide a number of direct support services, including procurement and contracting services to the project using FAO rules and procedures, as well as financial services to manage GEF resources. The cost of these direct support services will be covered entirely from the grant for project management. FAO will be responsible for project oversight to ensure that GEF policies and criteria are adhered to and that the project meets its objectives and achieves expected outcomes and outputs as established in the project document in an efficient and effective manner. FAO will report on the project progress to the GEF Secretariat and financial reporting will be done to the GEF Trustee. FAO will closely supervise and carry out supervision missions, and monitor project progress and provide technical support. FAO will also support MEDD in overseeing the project activities. Last, it will play an important role in developing partnerships with national and international institutions implementing projects aligned with the GEF-funded interventions.

[82] Conseil Inter-Marais du Bushi

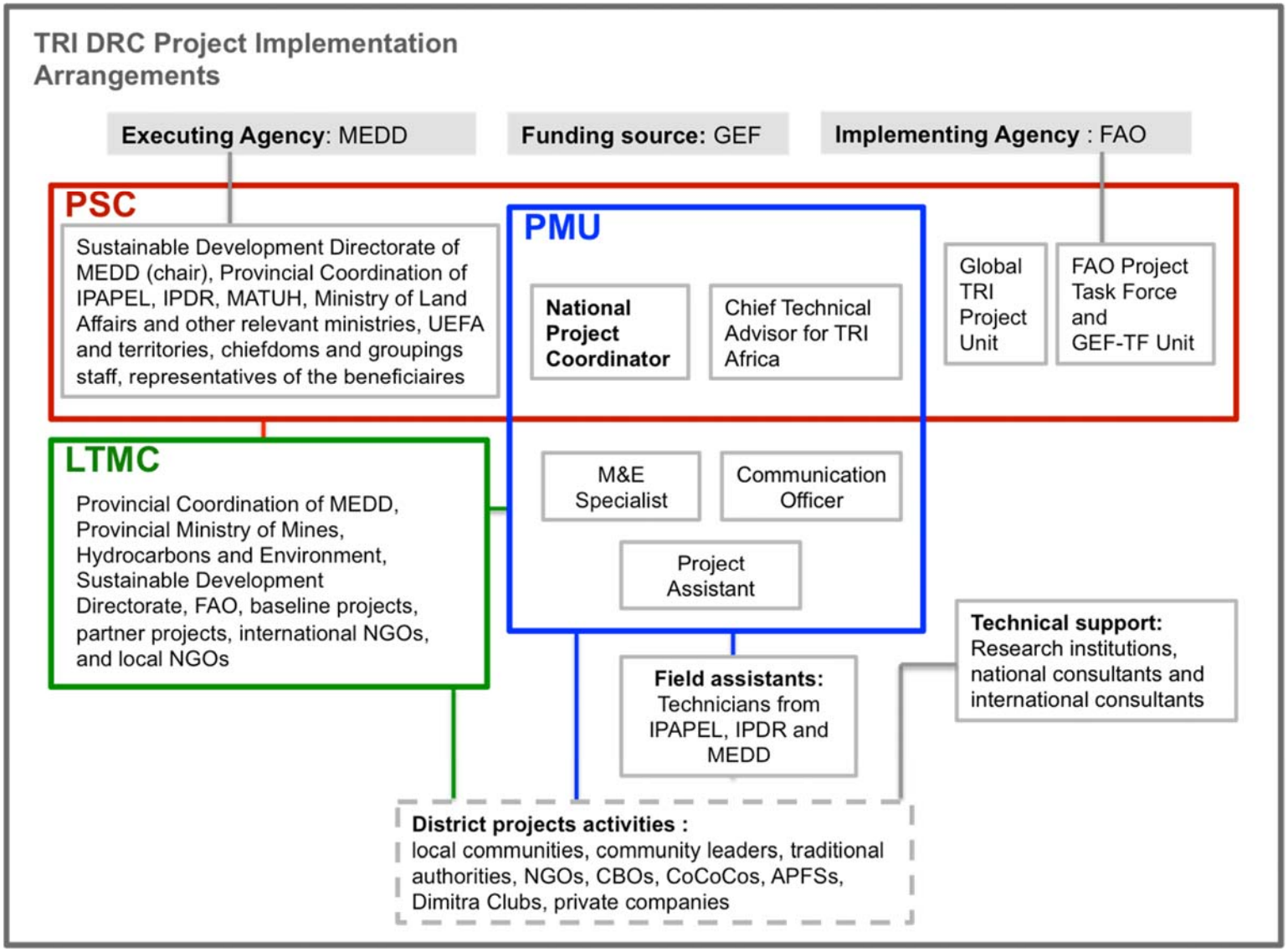

Figure 4. Implementation arrangements for the TRI Child project in DRC.
FAO: Food and Agriculture Organisation
GEF: Global Environment Facility
IPAPEL: Provincial Inspection of Agriculture, Fisheries and Livestock Husbandry
IPDR: Provincial Inspection of Rural Development
MATUH: Ministry of Agriculture, Fisheries and Livestock Husbandry
MEDD: Ministry of Environment, Nature Conservation and Sustainable Development
UEFA: Union for Emancipation of Indigenous Women

217. A Project Steering Committee (PSC) will be established and the Chair will be designated by MEDD. It will meet at least twice a year in Bukavu and be comprised of:

- representatives from the Provincial Coordination of MEDD;
- representatives of the DDD of MEDD;
- representatives from FAO;
- representatives from IPAPEL (under MATUH);
- representatives from IPDR (under the Ministry of Rural Development);
- representatives of MATUH
- representatives from Ministry of Land Affairs;
- other relevant ministries;
- representatives of the Provincial Directorate of ICCN;
- representatives of the Union for Indigenous Women Emancipation;
- baseline projects representatives including GIZ and LCD experts based in Bukavu;
- government authorities of Kabaré and Walungu Territories;
- Chiefs of Kabaré and Ngweshe Chiefdoms and other local traditional authorities;
- International organisations implementing partner projects including WWF, WCS and FH;
- Local NGOs; and
- representatives of the civil society.

218. The PSC will be responsible for guiding the project implementation, advise the National Project Coordinator and its PMU when needed, and validate work plans and reports. It will be the main decision-making platform of the project.

219. In addition to the fixed bi-annual meetings of the PSC in Bukavu, additional PSC meetings will be held in Kinshasa and in the cities closest to the intervention sites as needed.

220. The PSC responsibilities will include:

- Advise the PMU when needed;
- Oversee and ensure technical quality of outputs;
- Ensure alignment of the activities and products with the project document;
- Validate the selection of the community-based micro-projects of Component 2;
- Review the progress reports and financial reports;
- Ensure close linkages between the project and other relevant ongoing projects and programmes relevant to the project;
- Ensure timely availability and effectiveness of co-financing support;
- Ensure sustainability of key project outcomes, including up-scaling and replication;
- Ensure effective coordination of government partner work under this project;
- Modify where needed and validate the six-monthly Project Progress and Financial Reports, the Annual Work Plan and Budget;
- Provide contributions to the mid-term evaluation/review and final evaluation, analyse the conclusions and formulate response plans;
- Assist the PMU is solving the any issues in the project implementation; and
- Facilitate the dissemination and integration of the results in national policies and programmes.

221. The members of the PSC will each assure the role of a Focal Point for the project in their respective agencies. Hence the project will have a Focal Point in each concerned institution. As Focal Points in their agency, the concerned PSC members will (i) technically oversee activities in their sector, (ii) ensure a fluid two-way exchange of information and knowledge between their agency and the project, (iii) facilitate coordination and links between the project activities and the work plan of their agency, and (iv) facilitate the provision of co-financing to the project.

222. In addition to the National Project Steering Committee, a LTMC will meet regularly in Bukavu, with meetings happening in the targeted chiefdoms when necessary, in order to ensure a close collaboration between the PMU and its main local partners. They will meet every three months. The principal role of this committee will be to provide technical assistance for the project implementation, review technical reports and undertake technical monitoring of the interventions on site. These committees will have at least eight members from the relevant sectors including:

- one representative of the Provincial Coordination of MEDD;
- one representative of the PMMHE;
- one representative of the DDD;
- two representatives of FAO;
- at least one representative of baseline project;
- one representative of an international NGO; and
- one representative of a local NGO.

223. The main tasks of these committees include:

- advise the PMU on the technical and planning aspects of the project implementation;
- participate to development and validate the ToRs for the technical experts to be hired;
- participate to selection process for the technical experts;
- support the PMU with the selection of the community-based micro-projects of Component 2; and
- review, comment and validate the technical reports.

224. A PMU will be established in Bukavu under the supervision of the MEDD. It will include:

- a full time National Project Coordinator (NPC), leader of the NCU;
- a part time international Chief Technical Advisor;
- a full time M&E Expert;
- a full time Project Assistant;
- a part time Communication Expert; and
- a driver dedicated to the PMU members will also be hired by the project.

225. The PMU will be responsible for the daily management of project and for ensuring efficient and timely implementation of the project annual work plans. The PMU will be hosted and supported technically by the Provincial Coordination of MEDD who will allocate part time experts according the PMU needs as part of government co-financing. Memorandum of Understanding will also be developed with NGOs if required for the coordination of some specific interventions of the project. The PMU will work in close collaboration with FAO.

226. The ToRs of the PMU staff are provided in Annex 6. The PMU staff will be recruited by FAO and will send financial and technical progress reports (through the NPC) to the FAO Budget Holder (BH).
Some key functions of the PMU are:

- Technically identify, plan, design and support all activities;
- Liaise with government agencies and regularly advocate on behalf of the project;
- Prepare the Annual Work Plan and Budget (AWP/B) and monitoring plan, and submit them to FAO and PSC for validation;
- Play the role of the Secretariat of the PSC and the LTMC; and organise regular meetings and workshops with the PSC and LTMC members;
- Be responsible for day-to-day implementation of the project in line with the AWP;
- Ensure a results-based approach to project implementation, including maintaining a focus on project results and impacts as defined by the results framework indicators;
- Ensure close collaboration with baseline and partner project to maximise synergy and complementarity;
- Ensure the submission of appropriate yearly expenditure reports on the budget identified as co-financing by the baseline projects;

- Prepare and submit bi-annual progress reports and contribute to the preparation of FAO progress reports;
- Monitor and Evaluate continuously the project progress regarding the Results Matrix Targets according to a specific plan validated by MEDD and FAO, and submit M&E reports regularly to FAO and PSC;
- Be responsible for the elaboration of FAO Project Progress Reports (PPR) and the annual Project Implementation Review (PIR); and
- Facilitate and support the mid-term evaluation/review and final evaluation of the project.
  PMU staff will be supported by national and international consultants who will be recruited during project implementation as needed.

227. Last, MoUs will be signed with government institutions identify as key partners in the project implementation to define specifically their responsibilities in the project interventions. For example, MoUs will be signed with the Provincial Coordination of MEDD, IPAPEL and IPDD to allocate one local technician[1] each for Kabaré and Ngweshe Chiefdoms respectively (i.e. three field assistants per chiefdom) to monitor the interventions daily.

3.3 RISK MANAGEMENT

3.3.1 Significant risks facing the project

228. The participatory and community-based approach to be implemented by the TRI child project will enable to avoid risks related to insufficient ownership and support of the project. However, because of the fragile political situation in DRC, in particular in South-Kivu, there are several risks to the success of the TRI child project.

229. Among the risks facing the project that lie outside of the TRI child project control, there are:
- **Civil insecurity outbreaks** prevent the various stakeholders to focus on the project. This risk cannot be mitigated by the project and its likelihood is difficult to assess.
- The project relies on the support from the government. All the required consultations have been undertaken during project preparation, however, political changes leading to **government staff reshuffle** during the project implementation phase could affect the project implementation.
- The required capacity building will be undertaken to ensure that all the systems are in place to enabling the sustainability of the project outputs beyond the project. However, some outputs depend on the **willingness of the government** to continue to provide funding to these outputs after the end of the project. These specific outputs include: support to the observatory of the civil society and to the national monitoring and evaluation system.

3.3.2 Environmental and social risks

230. One high risk was identified in Environmental and Social Risk checklist under "SAFEGUARD 2 BIODIVERSITY, ECOSYSTEMS AND NATURAL HABITATS". This is because part of the project interventions will be implemented in the buffer zone of KBNP. These interventions aim to increase forest cover, sustainably increase agricultural and pastoral productivity, promote the use of improved cook stove and generate income from non-timber forest resources in this buffer zone. All these activities in the buffer zone of the KBNP will reduce the dependence of local communities including indigenous communities on the natural resources within the park boundaries thereby preventing future degradation of the KBNP natural resources.

[1] Technicians of the Provincial Coordination of MEDD, IPAPEL and IPDD are based in every main villages. They cover an area of approximately 20 km^2 each.

231. Moderate risks have been identified in the Environmental and Social Risk checklist for the safeguards listed below. Annex 10 provides an overview of what the mitigation actions are in case the identified risk really takes place.

- SAFEGUARD 3 PLANT GENETIC RESOURCES FOR FOOD AND AGRICULTURE
- SAFEGUARD 4 ANIMAL (LIVESTOCK AND AQUATIC) GENETIC RESOURCES FOR FOOD AND AGRICULTURE
- SAFEGUARD 5 PEST AND PESTICIDES MANAGEMENT
- SAFEGUARD 7 DECENT WORK
- SAFEGUARD 9 INDIGENOUS PEOPLES AND CULTURAL HERITAGE

3.3.3 Risk management strategy

232. See Risk Log in Annex 4

3.4. FINANCIAL MANAGEMENT

3.4.1 Financial planning

233. The total cost of the project will be USD 15,981,530, to be financed through a US$ 3,600,000 GEFTF grant and USD$ 12,381,530 co-financing from:

- GIZ input (PBF project): US$ 9,424,800
- LCD input: US$ 626,730
- MEDD input: US$ 1,930,000
- FAO inputs: US$ 400,000

234. Table 10 below shows the cost by component and by sources of financing. The FAO will, as GEF Agency, only be responsible for the execution of the GEF resources and the FAO co-financing.

Table 10. Financial planning of the GEF project in South Kivu

Component	GEF	Co-financing					Total	GEF %
		GIZ	LCD	DRC government	FAO	Total Co-financing		
Component 1. ENABLING ENVIRONMENT: Policy development to promote FLR at the provincial level	445,500	2,850,000	408,730	0	50,000	3,308,730	3,754,230	12%
Component 2. DEMONSTRATION: FLR and sustainable livelihood based on natural resources in the mountain region of South-Kivu province demonstrated at the chiefdom level	2,131,370	3,253,560	25,000	1,900,000	100,000	5,278,560	7,409,930	29%
Component 3. UPSCALING: Institutional and funding capacity to upscale FLR at the Provincial and National levels	343,750	1,425,000	155,000	0	50,000	1,630,000	1,973,750	17%
Component 4. KNOWLEDGE MANAGEMENT: Knowledge sharing on FLR, partnership, and monitoring and evaluation of FLR interventions	507,950	1,425,000	38,000	0	200,000	1,663,000	2,170,950	23%
PMC	171,430	471,240	0	30,000	0	501,240	672,670	25%
Total	**3,600,000**	**9,424,800**	**626,730**	**1,930,000**	**400,000**	**12,381,530**	**15,981,530**	23%

3.4.2 Financial management and reporting

235. **Financial Records**. FAO shall maintain a separate account in United States dollars for the project's GEF resources showing all income and expenditures. Expenditures incurred in a currency other than United States dollars shall be converted into United States dollars at the United Nations operational rate of exchange on the date of the transaction. FAO shall administer the project in accordance with its regulations, rules and directives.

236. **Financial Reports.** The BH shall prepare six-monthly project expenditure accounts and final accounts for the project, showing amount budgeted for the year, amount expended since the beginning of the year, and separately, the un-liquidated obligations as follows:

- Details of project expenditures on a component-by-component and output-by-output basis, reported in line with project budget codes as set out in the project document, as at 30 June and 31 December each year.
- Final accounts on completion of the project on a component-by-component and output-by-output basis, reported in line with project budget codes as set out in the project document.
- A final statement of account in line with FAO Oracle project budget codes, reflecting actual final expenditures under the project, when all obligations have been liquidated.

237. The BH will submit the above financial reports for review and clearance by the FAO Lead Technical Officer (LTO) and the FAO GEF Coordination Unit. Financial reports for submission to the donor (GEF) will be prepared in accordance with the provisions in the GEF Financial Procedures Agreement and submitted by the FAO Finance Division.

238. **Budget Revisions**. Semi-annual budget revisions will be prepared by the BH in accordance with FAO standard guidelines and procedures.

239. **Responsibility for Cost Overruns**. The BH is authorized to enter into commitments or incur expenditures up to a maximum of 20 percent over and above the annual amount foreseen in the project budget under any budget sub-line provided the total cost of the annual budget is not exceeded.

240. Any cost overrun (expenditure in excess of the budgeted amount) on a specific budget sub-line over and above the 20 percent flexibility should be discussed with the GEF Coordination Unit with a view to ascertaining whether it will involve a major change in project scope or design. If it is deemed to be a minor change, the BH shall prepare a budget revision in accordance with FAO standard procedures. If it involves a major change in the project's objectives or scope, a budget revision and justification should be prepared by the BH for discussion with the GEF Secretariat.

241. Savings in one budget sub-line may not be applied to overruns of more than 20 percent in other sub-lines even if the total cost remains unchanged, unless this is specifically authorized by the GEF Coordination Unit upon presentation of the request. In such a case, a revision to the project document amending the budget will be prepared by the BH.

242. Under no circumstances can expenditures exceed the approved total project budget or be approved beyond the NTE date of the project. **Any over-expenditure is the responsibility of the BH.**

243. **Audit**. The project shall be subject to the internal and external auditing procedures provided for in FAO financial regulations, rules and directives and in keeping with the Financial Procedures Agreement between the GEF Trustee and FAO.

244. The audit regime at FAO consists of an external audit provided by the Auditor-General (or persons exercising an equivalent function) of a member nation appointed by the Governing Bodies of the Organization and reporting directly to them, and an internal audit function headed by the FAO Inspector-

General who reports directly to the Director-General. This function operates as an integral part of the Organization under policies established by senior management, and furthermore has a reporting line to the governing bodies. Both functions are required under the Basic Texts of FAO which establish a framework for the terms of reference of each. Internal audits of project accounts, records, bank reconciliation and asset verification take place at FAO field and liaison offices on a cyclical basis.

245. **Procurement.** Careful procurement planning is necessary for securing goods, services and works in a timely manner, on a "Best Value for Money" basis. It requires analysis of needs and constraints, including forecast of the reasonable timeframe required to execute the procurement process. Procurement and delivery of inputs in technical cooperation projects will follow FAO's rules and regulations for the procurement of supplies, equipment and services (i.e. Manual Sections 502 and 507). *Manual Section 502*: "Procurement of Goods, Works and Services" establishes the principles and procedures that apply to procurement of all goods, works and services on behalf of the Organization, in all offices and in all locations, with the exception of the procurement actions described in Procurement Not Governed by Manual Section 502. *Manual Section 507* establishes the principles and rules that govern the use of Letters of Agreement (LoA) by FAO for the timely acquisition of services from eligible entities in a transparent and impartial manner, taking into consideration economy and efficiency to achieve an optimum combination of expected whole life costs and benefits.

246. As per the guidance in FAO's Project Cycle Guide, the BH will draw up an annual procurement plan for major items, which will be the basis of requests for procurement actions during implementation. The first procurement plan will be prepared at the time of project start-up, if not sooner, in close consultation with the CTA/NPC and LTU. The plan will include a description of the goods, works, or services to be procured, estimated budget and source of funding, schedule of procurement activities and proposed method of procurement. In situations where exact information is not yet available, the procurement plan should at least contain reasonable projections that will be corrected as information becomes available.

247. The procurement plan shall be updated every 12 months and submitted to FAO BH and LTO for clearance, together with the AWP/B and annual financial statement of expenditures report for the next instalment of funds.

248. The BH, in close collaboration with the CTA/NPC, the LTO and the Budget and Operations Officer will procure the equipment and services provided for in the detailed budget in Appendix 3, in line with the AWO and Budget and in accordance with FAO's rules and regulations.

SECTION 4 – MONITORING, REPORTING AND EVALUATION

4.1. OVERSIGHT

249. Project oversight will be carried out by the PSC, the FAO GEF Coordination Unit and relevant Technical Units in HQ. Oversight will ensure that: (i) project outputs are produced in accordance with the project results framework and leading to the achievement of project outcomes; (ii) project outcomes are leading to the achievement of the project objective; (iii) risks are continuously identified and monitored and appropriate mitigation strategies are applied; and (iv) agreed project global environmental benefits/adaptation benefits are being delivered.

250. The FAO GEF Unit and HQ Technical Units will provide oversight of GEF financed activities, outputs and outcomes largely through the annual Project Implementation Reports (PIRs), periodic backstopping and supervision missions.

4.2 MONITORING

251. Project monitoring will be carried out by the Project Management Unit (PMU) and the FAO budget holder. A Project Manager (PM) will be hired full time to run the PMU. Project performance will be monitored using the project results matrix, including indicators (baseline and targets) and annual work plans and budgets. At inception the results matrix will be reviewed to finalize identification of: i) outputs ii) indicators; and iii) missing baseline information and targets. A detailed M&E plan, which builds on the results matrix and defines specific requirements for each indicator (data collection methods, frequency, responsibilities for data collection and analysis, etc) will also be developed during project inception by the M&E expert.

4.3 REPORTING

252. Specific reports that will be prepared under the M&E program are: (i) Project inception report; (ii) Annual Work Plan and Budget (AWP/B); (iii) Project Progress Reports (PPRs); (iv) annual Project Implementation Review (PIR); (v) Technical Reports; (vi) co-financing reports; and (vii) Terminal Report. In addition, assessment of the GEF Monitoring Evaluation Tracking Tools against the baseline (completed during project preparation) will be required at midterm and final project evaluation.

253. **Project Inception Report.** It is recommended that the PMU prepare a draft project inception report in consultation with the LTO, BH and other project partners. Elements of this report should be discussed during the Project Inception Workshop and the report subsequently finalized. The report will include a narrative on the institutional roles and responsibilities and coordinating action of project partners, progress to date on project establishment and start-up activities and an update of any changed external conditions that may affect project implementation. It will also include a detailed first year AWP/B, a detailed project monitoring plan. The draft inception report will be circulated to the PSC for review and comments before its finalization, no later than one month after project start-up. The report should be cleared by the FAO BH, LTO and the FAO GEF Coordination Unit and uploaded in FPMIS by the BH.

254. **Results-based Annual Work Plan and Budget (AWP/B).** The draft of the first AWP/B will be prepared by the PMU in consultation with the FAO Project Task Force and reviewed at the project Inception Workshop. The Inception Workshop (IW) inputs will be incorporated and the PMU will submit a final draft AWP/B within two weeks of the IW to the BH. For subsequent AWP/B, the PMU will organize a project progress review and planning meeting for its review. Once comments have been incorporated, the BH will circulate the AWP/B to the LTO and the GEF Coordination Unit for comments/clearance prior to uploading in FPMIS by the BH. The AWP/B must be linked to the project's Results Framework indicators so that the project's work is contributing to the achievement of the indicators. The AWP/B should include detailed activities to be implemented to achieve the project outputs and output targets and divided into

monthly timeframes and targets and milestone dates for output indicators to be achieved during the year. A detailed project budget for the activities to be implemented during the year should also be included together with all monitoring and supervision activities required during the year. The AWP/B should be approved by the Project Steering Committee and uploaded on the FPMIS by the BH.

255. **Project Progress Reports (PPR):** PPRs will be prepared by the PMU based on the systematic monitoring of output and outcome indicators identified in the project's Results Framework (Annex 1). The purpose of the PPR is to identify constraints, problems or bottlenecks that impede timely implementation and to take appropriate remedial action in a timely manner. They will also report on projects risks and implementation of the risk mitigation plan. The Budget Holder has the responsibility to coordinate the preparation and finalization of the PPR, in consultation with the PMU, LTO and the FLO. After LTO, BH and FLO clearance, the FLO will ensure that project progress reports are uploaded in FPMIS in a timely manner.

256. **Annual Project Implementation Review (PIR**): The BH (in collaboration with the PMU and the LTO) will prepare an annual PIR covering the period July (the previous year) through June (current year) to be submitted to the TCI GEF Funding Liaison Officer (FLO) for review and approval **no later than (check each year with GEF Unit but roughly end June/early July each year)**. The FAO GEF Coordination Unit will submit the PIR to the GEF Secretariat and GEF Evaluation Office as part of the Annual Monitoring Review report of the FAO-GEF portfolio. PIRs will be uploaded on the FPMIS by the TCI GEF Coordination Unit.

257. Key milestones for the PIR process:

- **Early July**: the LTO submit the draft PIRs (after consultations with BHs, project teams) to the GEF Coordination Unit (faogef@fao.org, copying respective GEF Unit officer) for initial review;
- **Mid July**: GEF Unit responsible officers review main elements of PIR and discuss with LTO as required;
- **Early/mid-August**: GEF Coordination Unit prepares and finalizes the FAO Summary Tables and sends to the GEF Secretariat by (date is communicated each year by the GEF Secretariat through the FAO GEF Unit;
- **September/October**: PIRs are finalized. PIRs carefully and thoroughly reviewed by the GEF Coordination Unit and discussed with the LTOs for final review and clearance;
- **Mid November:** (date to be confirmed by the GEF): the GEF Coordination Unit submits the final PIR reports -cleared by the LTU and approved by the GEF Unit- to the GEF Secretariat and the GEF Independent Evaluation Office.

258. **Technical Reports:** Technical reports will be prepared by national, international consultants (partner organizations under LOAs) as part of project outputs and to document and share project outcomes and lessons learned. The drafts of any technical reports must be submitted by the PMU to the BH who will share it with the LTO. The LTO will be responsible for ensuring appropriate technical review and clearance of said report. The BH will upload the final cleared reports onto the FPMIS. Copies of the technical reports will be distributed to project partners and the Project Steering Committee as appropriate.

259. **Co-financing Reports:** The BH, with support from the PMU, will be responsible for collecting the required information and reporting on co-financing as indicated in the Project Document/CEO Request. The PMU will compile the information received from the executing partners and transmit it in a timely manner to the LTO and BH. The report, which covers the period 1 July through 30 June, is to be submitted on or before 31 July and will be incorporated into the annual PIR. The format and tables to report on co-financing can be found in the PIR.

260. **GEF Tracking Tools**: Following the GEF policies and procedures, the relevant tracking tools for full sized projects will be submitted at three moments: (i) with the project document at CEO endorsement; (ii) at the project's mid-term review/evaluation; and (iii) with the project's terminal evaluation or final completion report. The TT will be uploaded in FPMIS by the GEF Unit. The TT are developed by the Project

Design Specialist, in close collaboration with the FAO Project Task Force. They are filled in by the PMU and made available for the mid-term review an again for the final evaluation.

261. **Terminal Report:** Within two months before the end date of the project, and one month before the Final Evaluation, the PMU will submit to the BH and LTO a draft Terminal Report. The main purpose of the Terminal Report is to give guidance at ministerial or senior government level on the policy decisions required for the follow-up of the project, and to provide the donor with information on how the funds were utilized. The Terminal Report is accordingly a concise account of the main products, results, conclusions and recommendations of the project, without unnecessary background, narrative or technical details. The target readership consists of persons who are not necessarily technical experts but who need to understand the policy implications of technical findings and needs for insuring sustainability of project results.

4.4 EVALUATION

262. A Mid-Term Review of the GEF-funded interventions will be undertaken at project mid-term to review progress and effectiveness of implementation in terms of achieving the project objectives, outcomes and outputs. Findings and recommendations of this review will be instrumental for bringing improvement in the overall project design and execution strategy for the remaining period of the project's term. FAO will arrange for the mid-term review in consultation with the project partners. The evaluation will, *inter alia:*

- review the effectiveness, efficiency and timeliness of project implementation;
- analyze effectiveness of partnership arrangements;
- identify issues requiring decisions and remedial actions;
- propose any mid-course corrections and/or adjustments to the implementation strategy as necessary; and
- highlight technical achievements and lessons learned derived from project design, implementation and management.

263. It is recommended that an independent Final Evaluation (FE) be carried out three months prior to the terminal review meeting of the project partners. The FE will aim to identify the project impacts and sustainability of project results and the degree of achievement of long-term results. This evaluation will also have the purpose of indicating future actions needed to sustain project results and disseminate products and best-practices within the country and to neighbouring countries.

4.5 M&E Plan

Type of M&E Activity	Responsible Parties	Time-frame	Budget
Inception Workshop	PMU in consultation with the LTO, Budget Holder (BH) and PSC	Within 1 month after Start-up	USD 8,000
Results-based Annual Work Plan and Budget	PMU in consultation with the FAO Project Task Force	3 weeks after Start-up and annually with the reporting period July to June	Project staff time
Project Inception Report	PMU in consultation with the FAO LTO, FAO BH, FAO-Kinshasa and FAO-Bukavu Report cleared by the FAO BH, FAO LTO and the FAO GEF Coordination Unit and uploaded in FPMIS by the FAO BH	1 month after Start-up	Project staff time
Project M&E Expert	Full-time expert as part of Component 4, member of the PMU	1 month after Start-up	US$ 60,000
M&E tools and equipment	GPS and other tools required by the Project M&E expert	Within 6 months after Start-up	US$ 10,000
Data collection campaigns in the field	3 data collection campaigns per year in each chiefdom	For four years (Years 2 to 5 of the project implementation period)	US$ 20,000
Supervision Visits	FAO	Mid-term	Project staff time
Chief Technical Advisor	FAO	60 days per year	US$ 150,000
Project Progress Reports (PPR)	PMU based on the systematic monitoring of output and outcome indicators identified in the project's Results Framework The PPR will be submitted to the FAO BH and FAO LTO for comments and clearance. The FAO BH will upload the PPR on the FPMIS.	No later than one month after the end of each six-monthly reporting period (30 June and 31 December)	Project staff time
Project Implementation Review report (PIR)	FAO LTO (in collaboration with the PMU) will prepare an annual PIR covering the period July (the previous year) through June (current year) to be submitted to the FAO BH and the GEF-Funding Liaison Officer	August 1, of each reporting year	Project staff time
Co-financing Reports (Disbursement, Output)	PMU	On a semi-annual basis, and will be considered as part of the semi-annual PPRs	Project staff time
GEF Tracking Tools	PM and reviewed by FAO HQ Technical Officer (LTU)	At mid-point and end of project	Project staff time

Type of M&E Activity	Responsible Parties	Time-frame	Budget
Technical Reports	Project staff and consultants, with peer review as appropriate	As appropriate	Project time and consultant costs
Mid-term Review	External consultant, FAO Office of Evaluation in consultation with PMU, GEF Coordination Unit and other partners.	6 months before end of project implementation	US$ 22,000
Independent Final Evaluation	External consultant, FAO Office of Evaluation in consultation with PMU, GEF Coordination Unit and other partner	3 months prior to terminal review meeting	US$ 33,000
Terminal Report	PMU with assistance of other project staff and the FAO LTU	2 months before project end	US$ 7,000
Lessons Learned	Project Staff, short-term consultants and FAO	As appropriate	
Total Budget			**US$ 310,000**

4.6 COMMUNICATION

264. As this project focuses on demonstrating and upscaling FLR in DRC, communication is a major element of its implementation. Communication on FLR in general and on the project interventions specifically will be undertaken at several levels:

- At the household level: Contracts between Dimitra clubs and local radios will be developed to disseminate the information on the activities undertaken by these clubs including their benefits and lessons learned. Awareness-raising and communication campaigns will also be undertaken at the local level to inform on the project interventions through signage in the project sites, awareness-raising days, and pamphlets.
- At the groupings and chiefdom levels: All the project interventions will be undertaken in collaboration with government and traditional authorities of the targeted groupings and chiefdoms. Technical training will also be provided to give them the capacity to replicate the approach beyond the interventions sites. They will therefore have a full understanding of the project purpose and interventions. In addition, pupils will be targeted by the communication interventions through awareness-raising days and the implementation of tree nurseries in schools.
- At the territory and provincial levels: Workshops will be organised with authorities of the targeted chiefdoms as well as neighbouring chiefdoms. Field visit to the demonstration sites will also be organised to showcase the FLR approach. An extensive communication campaign will be implemented for the general public in South-Kivu. A diversity of media will be used including documentaries for television, radio shows, theatre plays, among others.
- At the national level: Workshops in Kinshasa will be organised with the authorities of other provinces to share the experience acquired in South-Kivu and initiate brainstorming on the application of the FLR approach in other countries. University modules on FLR will also be developed to raise awareness of students on FLR.
- At the regional and global levels: existing regional networks will be used to share the experience acquired in DRC with other countries of the Congo Basin and of the Southern Hemisphere. The Global TRI project will also play a major role in knowledge sharing between countries and continents, as it will bring together 10 African and Asian countries.

265. The main languages in Kabaré Chiefdom are: i) Mashi, which is spoken by the Bashis and some Pygmies; ii) Swahili, which is considered as the intercultural language and is therefore used by most of the population; and iii) Kitembo, which is spoken by the small group of Batembo people originally from Kalehe Chiefdom. In Ngweshe Chiefdom, the main language is the Mashi, which is the mother tongue of the Bashis. The second most common language is Swahili. The communication tools used under the TRI child project will therefore be developed in Mashi, Swahili, Kitembo and French.

266. The aforementioned communication interventions have all been specifically budgeted for and a full-time communication expert will be appointed to the PMU team to oversee their successful implementation.

ANNEXES

ANNEX 1: RESULTS MATRIX

Results Chain	Indicators	Baseline	Mid-term milestone	Target	Means of Verification (MOV)	Assumptions
Development objective: To increase development opportunities in DRC through the sustainable exploitation of natural resources						
Project Objective: Reforestation and sustainable management of natural resources by local communities using an FLR approach in South-Kivu province, DRC	1) Hectares of land restored or under improved management in the two selected chiefdoms 2) tCO2eq emissions avoided/sequestered in targeted landscapes as a direct result of TRI child project interventions	The FLR approach is not yet used for restoration interventions in the two targeted chiefdoms.	1) 1000 ha 2) Not relevant for tCO2eq emissions	1) At least 4,800 ha 2) At least 1,064,457 tCO2eq to be sequestered in the two targeted chiefdoms	1) • GEF TTs • Collect Earth complemented with biophysical survey (e.g. based on LADA local) and using Collect Mobile • InVEST and/or EX-ACT • Bonn Challenge Progress-Tracking Protocol • Gender disaggregated participation tracking data 2) • GEF TTs • InVEST and/or EX-ACT • Data from 2.1	• There are no major political changes that lead to a change in orientation of the national objectives and priorities during the project implementation phase. • No land reform that goes against the interventions of the project regarding the sustainable management of natural resources is adopted during or after the project implementation phase. Land-tenure clarifications supported as part of the project interventions are sufficient to secure land-use rights of the project beneficiaries in the medium to long term. • No major civil insecurity outbreak occurs during the project implementation phase. • Competent national experts can be identified and recruited following a

						transparent process for all the project interventions.
Component 1: ENABLING ENVIRONMENT: Policy development to promote FLR at the provincial level						
Outcome 1: An enabling policy framework for FLR is in place in a pilot province of DRC, South-Kivu	# and type of relevant FLR-related policies/ legislation/plans etc. identified/supported by the TRI child project, and progress towards mainstreaming FLR into policy and regulatory frameworks (Scales 1 to 6)	Existing text are outdated or not implemented. Several key texts for sustainable resource management are missing.	Gaps in the policy framework identified.	At least one policy in the forest sector (Provincial Forest Restoration Strategy and Action Plan), at least one in the agricultural or environmental sector (Environment provincial policy or provincial programme for sustainable agriculture development) and two Chiefdom Development Plans, drafted and submitted for adoption (Scale 1: FLR considerations are mentioned in sector policy)	Draft policy documents	• There are no major political changes that lead to a change in orientation of the national objectives and priorities during the project implementation phase.
Output 1.1: Provincial Forest Restoration Strategy developed using the Restoration Opportunities Assessment Methodology (ROAM) approach in South-Kivu Output 1.2: Workshops organised with relevant stakeholders to address the barriers within the national and provincial policy environment to promote FLRBarriers to promote FLR within the national and provincial policy frameworks identified collectively with relevant stakeholdersOutput 1.3: Development Plans integrating Forest and Landscapes Restoration options developed for Kabaré and Ngweshe Chiefdoms respectively within the territories of Kabaré and Walungu						
Component 2: DEMONSTRATION: Forest and Landscape Restoration options and sustainable livelihood based on natural resources demonstrated at the chiefdom level in the mountain region of South-Kivu Province						
Outcome 2: Forest and land degradation in Kabaré and Ngweshe Chiefdoms is	1) # of people directly benefiting from project activities (including	1) High level of poverty and land degradation in	1) 6000 people of 1,000 households 2) TBD	1) 30,000 people or 6,000 households	Field surveys	• There are no major political changes that lead to a change in orientation of the national

reduced through the promotion of FLR good practices (including agroforestry) in pastoral lands, agricultural lands, forest lands and on hillsides	capacity building events and trainings) (m/f) 2) Average annual household income from forest and from tree products, and increased agricultural and pastoral productivity	the targeted chiefdoms 2) TBD		including 50% of women 2) TBD		objectives and priorities during the project implementation phase. • No land reform that goes against the interventions of the project regarding the sustainable management of natural resources is adopted during or after the project implementation phase. Land-tenure clarifications supported as part of the project interventions are sufficient to secure land-use rights of the project beneficiaries in the medium to long term. • No major civil insecurity outbreak occurs during the project implementation phase. • Competent national experts can be identified and recruited following a transparent process for all the project interventions.
Output 2.1: Site-specific restoration plans developed in the targeted Chiefdoms including the identification of priority zones, species, restoration practices and land-tenure systems Output 2.2: 4,800 ha of forest, agricultural and pastoral ecosystems under improved landscape management practices using APFS and Dimitra clubs approaches Output 2.3: 70 micro-projects for the development of cost-effective and sustainable livelihoods based on the sustainable management of natural resources in the intervention sites implemented to increase the economic value of forest, pastoral and agricultural resources thereby promoting natural resources' conservation						
Component 3: UPSCALING: Institutional and funding capacity to upscale FLR at the Provincial and National levels						
Outcome 3: Institutional and financial capacity is strengthened to enable implementation of FLR in South-Kivu Province and at the country scale	1) # of investment plans, strategies and action plans that include FLR in their set of interventions 2) # of bankable projects developed & submitted (according to the scorecard matrix)	1) FLR interventions are not prioritised in current investment plans, strategies or actions plans	1) At least one investments plans, strategies or action plans includes FLR in their set of interventions 2) One bankable project	1) At least two investment plans, strategies or action plans (e.g. FONAREDD investment plan, REDD+ strategy, INDC strategy)	1) • GEF TTs • Enabling Investment Rapid Diagnostic tool (to be developed) 2) • Scorecard matrix for status of bankable projects (to be developed)	• There are no major political changes that lead to a change in orientation of the national objectives and priorities during the project implementation phase. • Competent national experts can be identified and

		related to natural resources management and sustainable development. 2) No bankable projects		include FLR in their set of interventions 2) Four bankable projects		recruited following a transparent process for all the project interventions.
Output 3.1: Training sessions for decentralized government and non-government entities provided on best practices and methods for planning, implementing and monitoring FLR in South-Kivu Output 3.2: An independent observatory led by civil society to monitor FLR progress in South-Kivu Output 3.3: Four bankable, large-scale restoration projects submitted to appropriate funding sources						
Component 4: KNOWLEDGE MANAGEMENT: Knowledge sharing on FLR, partnership, and monitoring and evaluation of FLR interventions						
Outcome 4: Awareness, long-term monitoring, and knowledge sharing on FLR interventions are increased to promote the sustainability and replication of the TRI child project interventions	1) # of TRI knowledge products developed, disseminated and accessed through relevant knowledge platforms 2) Child project monitoring system established and providing relevant information to managers	1) No TRI knowledge products 2) No M&E system to monitoring FLR interventions	1) At least 1 university curricular chapters and 1 school curricula booklet 2) One project-specific M&E system developed and implemented	1) At least 2 university curricular chapters, 1 school curricula booklet, 2 short-documentaries, 1 pamphlet, 2 radio talks, 1 theatre play and 2 kids games 2) One project-specific M&E system and one provincial M&E system for FLR interventions	1) • Knowledge products developed • Distribution records (mailing list, physical distribution records) • Download records • Event attendance records 2) • GEF TTs • Meeting minutes • Adaptive management scoring tool (TBD)	• There are no major political changes that lead to a change in orientation of the national objectives and priorities during the project implementation phase. • No major civil insecurity outbreak occurs during the project implementation phase. • Competent national experts can be identified and recruited following a transparent process for all the project interventions.
Output 4.1: Awareness-raising events and education campaigns on the value of natural resources particularly forests implemented for pupils, students and adults in South-Kivu Output 4.2: A long-term Monitoring and Evaluation strategy implemented for FLR interventions beyond the TRI child project implementation in South-Kivu Output 4.3: Knowledge sharing events on FLR implemented at the national and regional scales to promote the replication of the project interventions in other territories and provinces within DRC						

ANNEX 2: WORKPLAN

OUTPUTS	ACTIVITIES	Year 1				Year 2				Year 3				Year 4				Year 5			
		1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4
PROJECT START UP	Recruit PMU members of PMU team																				
	Orient PMU members																				
	National Inception workshop																				
	Local level inception workshops																				
	LOA among participating agencies																				
Capacity development	Appointing training expert																				
	Validation of pre-identified gaps																				
Gender mainstreaming	Development of gender mainstreaming strategy including specific actions for each activity																				
	Monitoring and follow-up of gender mainstreaming effectiveness																				
Monitoring and evaluation	Baseline study: Review of logical framework and indicators																				
	Generation of missing baseline data for indicators																				
	Monitoring of progress in meeting targets																				
	Internal review and organisation of indicator data																				
	Mid-term review																				
	Final evaluation																				
PROJECT CLOSURE	Negotiation of details of exit/sustainability strategy																				
	Review/feedback workshop																				
	Administrative closure																				

OUTPUTS	ACTIVITIES	Year 1				Year 2				Year 3				Year 4				Year 5			
		1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4
1.1. Provincial Forest Restoration Strategy developed using the Restoration Opportunities Assessment Methodology (ROAM) approach	Undertake micro-zoning using ROAM																				
	Refine priorisation of restoration areas																				
	Develop Provincial Forest Restoration Strategy and Action Plan																				
1.2. Workshops organised with relevant stakeholders to address the barriers within the national and provincial policy environment to promote FLR	Analysis and identification of priority gaps and weaknesses																				
	Workshops to address these gaps																				
1.3. Development Plans for Kabaré and Ngweshe Chiefdoms within the territories of Kabaré and Walungu respectively promoting the restoration and sustainable management of natural resources developed	Update of existing CDP																				
	Strengthen LDC																				
2.1. Site-specific restoration plans developed in the targeted Chiefdoms including the identification of priority zones, species, restoration practices and land-tenure systems	Analysis of the level of ecosystem degradation on site																				
	Delineate restoration sites																				
	Identify and support solving of land-tenure issues																				
	Strengthen Dimitra Clubs																				
	Finalise species selection for each restoration site																				
	Undertake EIA																				
2.2 4,800 ha of forest, agricultural and pastoral ecosystems under improved landscape management practices	Assessment of existing FFSs and needs																				
	Develop the long-term management plan																				
	Design and implement soil conservation infrastructure																				

OUTPUTS	ACTIVITIES	Year 1				Year 2				Year 3				Year 4				Year 5			
		1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4
using APFS and Dimitra clubs approaches	Design and implement reforestation interventions																				
	Design and implement climate-smart agriculture interventions																				
	Design and implement improved management practices for pastoral resources																				
2.3 70 micro-projects for the development of cost-effective and sustainable livelihoods based on the sustainable management of natural resources in the intervention sites implemented to increase the economic value of forest, pastoral and agricultural resources thereby promoting natural resources' conservation	Support the development of micro-projects by local communities																				
	Select the micro-projects																				
	Implement the micro-projects																				
	Promote the development of value chains																				
	Train local associations																				
	Develop best financial options for all groups																				
3.1 Training events on best practices and methods for planning, implementing and monitoring FLR organised for government and non-government entities in South-Kivu	Train government and non-government institutions																				
	Identify strengths and weaknesses in cross-sectoral coordination mechanisms																				
	Strengthen cross-coordination mechanisms																				
3.2 An observatory for the civil society to support FLR in South-Kivu	Workshops on the establishment of the civil-society observatory																				
	Support the establishment of the observatory																				
3.3 Four bankable, large-scale restoration projects submitted to appropriate funding sources	Review existing funding sources and identify means of improvement																				
	Workshops to improve allocation of fund to FLR																				

OUTPUTS	ACTIVITIES	Year 1				Year 2				Year 3				Year 4				Year 5			
		1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4	1	2	3	4
	Update REDD+ investment plan and relevant national strategy document																				
	Support the development of bankable projects																				
4.1 Awareness-raising events and education on the value of natural resources particularly forests implemented for pupils, students and adults in South-Kivu	Develop and implement an awareness-raising campaign in schools																				
	Develop teaching modules for students																				
	Integrate teaching modules in curricula																				
	Develop and implement an awareness-raising strategy at the provincial scale																				
4.2 A long-term Monitoring and Evaluation strategy implemented for FLR interventions beyond the TRI child project implementation in South-Kivu	Workshops to develop ToRs for all the actors involved in the M&E strategy																				
	Implementation of the M&E strategy																				
4.3 Knowledge sharing events on FLR implemented at the national and regional scales to promote the replication of the project interventions in other territories and provinces within DRC, and in other countries	Organise knowledge-sharing events between provinces																				
	Organise regional and international knowledge-sharing events between countries																				
	Participate to TRI knowledge-sharing events																				

ANNEX 3: BUDGET

Annotated budget

									Expenditures by year					
Oracle code and description	Unit	No. of units	Unit cost	Outcome 1 Total	Outcome 2 Total	Outcome 3 Total	Outcome 4 Total	PM Total	Total GEF	Year 1	Year 2	Year 3	Year 4	Year 5
5300 Salaries professionals														
Operations and Administrative Officer (NAT)								171,430	171,430	34,286	34,286	34,286	34,286	34,286
5300 Sub-total salaries professionals				0	0	0	0	171,430	171,430	34,286	34,286	34,286	34,286	34,286
5570 Consultants														
Land-use management specialist	Days	35	500	17,500	0	0	0	0	17,500	17,500	0	0	0	0
SLM and INRM specialist	Days	60	500	15,000	0	0	0	0	15,000	15,000	0	0	0	0
Independant Mid-term evaluation	Lumpsum	N/A	N/A	22,000	0	0	0	0	22,000	22,000	0	0	0	0
Independant Final Evaluation	Lumpsum	N/A	N/A	33,000	0	0	0	0	33,000	33,000	0	0	0	0
Forest Landscape Restoration expert	Days	30	500	0	15,000	0	0	0	15,000	15,000	0	0	0	0
Forest Landscape Restoration expert	Days	25	500	0	12,500	0	0	0	12,500	0	8,000	4,500	0	0
RuralInvest Assessment	Days	96	500	0	48,000	0	0	0	48,000	48,000	0	0	0	0
Forest Landscape Restoration expert	Days	30	500	0	0	15,000	0	0	15,000	0	8,000	7,000	0	0
Forest Landscape Restoration expert	Days	25	500	0	0	12,500	0	0	12,500	0	12,500	0	0	0
Project design expert	Days	55	500	0	0	27,500	0	0	27,500	0	7,500	20,000	0	0
Expert for baseline assessment	Lumpsum	N/A	N/A	0	40,000	0		0	40,000	40,000	0	0	0	0
M&E expert	Days	20	500	0	10,000	0		0	10,000	10,000	0	0	0	0
CTA	Days	60	500	0	150,000	0	0	0	150,000	30,000	30,000	30,000	30,000	30,000
Sub-total international Consultants				87,500	275,500	55,000	0	0	418,000	230,500	66,000	61,500	30,000	30,000
Land-use management specialist	Days	60	150	9,000	0	0	0	0	9,000	9,000	0	0	0	0
SLM and INRM specialist	Days	55	150	8,250	0	0	0	0	8,250	8,250	0	0	0	0
Institutional specialist	Days	60	150	9,000	0	0	0	0	9,000	9,000	0	0	0	0
Legal experts	Days	75	150	11,250	0	0	0	0	11,250	6,000	5,250	0	0	0
Land-use planning expert	Days	120	150	18,000	0	0	0	0	18,000	18,000	0	0	0	0

Community-based land-use management expert	Days	210	150	31,500	0	0	0	0	31,500	20,000	11,500	0	0	0
Ecosystems health assessment expert	Days	50	150	0	7,500	0	0	0	7,500	7,500	0	0	0	0
Ecosystem restoration expert	Days	65	150	0	9,750	0	0	0	9,750	9,750	0	0	0	0
Land affairs expert	Days	90	150	0	13,500	0	0	0	13,500	13,500	0	0	0	0
Dimitra approach expert	Days	85	150	0	9,750	0	0	0	9,750	9,750	0	0	0	0
Ecosystem restoration expert	Days	45	150	0	6,750	0	0	0	6,750	6,750	0	0	0	0
Erosion control expert	Days	90	150	0	12,000	0	0	0	12,000	0	8,000	4,000	0	0
Climate-smart agriculture expert	Days	85	150	0	12,750	0	0	0	12,750	0	8,000	4,750	0	0
APFS expert	Days	125	150	0	18,750	0	0	0	18,750	0	18,750	0	0	0
Pastoral resources management expert	Days	60	150	0	9,000	0	0	0	9,000	0	6,000	3,000	0	0
Value chain development specialists (at least 1 livestock; 1 crops; 2 NTFPs)	Days	85	150	0	12,750	0	0	0	12,750	0	0	6,000	6,750	0
Community-based management specialist	Days	80	150	0	12,000	0	0	0	12,000	6,000	3,000	3,000	0	0
Financial expert	Days	85	150	0	12,750	0	0	0	12,750	0	0	6,000	6,750	0
Institutional capacity expert	Days	65	150	0	0	9,750	0	0	9,750	6,000	3,750	0	0	0
Natural resources management expert	Days	70	150	0	0	10,500	0	0	10,500	7,000	3,500	0	0	0
Project Manager	Months	60	1600	0	0	96,000	0	0	96,000	19,200	19,200	19,200	19,200	19,200
Project Assistant	Months	60	600	0	0	45,000	0	0	45,000	9,000	9,000	9,000	9,000	9,000
Cross-sectoral coordination expert	Days	80	150	0	0	6,750	0	0	6,750	0	4,000	2,750	0	0
M&E expert	Days	80	150	0	0	12,000	0	0	12,000	12,000	0	0	0	0
Financial expert	Days	90	150	0	0	12,000	0	0	12,000	0	4,000	8,000	0	0
Reforestation planning expert	Days	75	150	0	0	8,250	0	0	8,250	0	8,250	0	0	0
Youth communication expert	Days	75	150	0	0	0	11,250	0	11,250	0	0	6,000	5,250	0
Education specialist	Days	85	150	0	0	0	12,750	0	12,750	0	0	12,750	0	0
Ecosystem restoration expert	Days	65	150	0	0	0	9,750	0	9,750	0	0	9,750	0	0
Communication expert (full time)	Month	60	1000	0	0	0	60,000	0	60,000	12,000	12,000	12,000	12,000	12,000
M&E expert (full time)	Month	60	1000	0	0	0	54,000	0	54,000	6,000	12,000	12,000	12,000	12,000
Landscape restoration expert	Days	70	150	0	0	0	10,500	0	10,500	0	0	2,500	4,000	4,000
Landscape restoration expert	Days	60	150	0	0	0	9,000	0	9,000	0	0	0	3,000	6,000

Sub-tot national Consultants				87,000	137,250	200,250	167,250	0	591,750	194,700	136,200	120,700	77,950	62,200
5570 Sub-total consultants				174,500	412,750	255,250	167,250	0	1,009,750	425,200	202,200	182,200	107,950	92,200
5650 Contracts														
Subcontract research institution	Lumpsum	N/A	N/A	0	8,000	0	0	0	8,000	8,000	0	0	0	0
Subcontract ESIA firm	Lumpsum	N/A	N/A	0	35,000	0	0	0	35,000	25,000	10,000	0	0	0
Sub-contract to NGO support and monitor the implementation of soil conservation interventions	Lumpsum	N/A	N/A	0	12,000	0	0	0	12,000	0	5,000	7,000	0	0
Sub-contract to NGO to support and monitor the implementation of reforestation interventions	Lumpsum	N/A	N/A	0	35,000	0	0	0	35,000	0	15,000	20,000	0	0
Sub-contract to NGO to support and monitor the implementation of agricultural interventions	Lumpsum	N/A	N/A	0	25,000	0	0	0	25,000	0	10,000	15,000	0	0
Sub-contract for NGOs to train local communities for micro-projects development	Lumpsum	N/A	N/A	0	20,000	0	0	0	20,000	20,000	0	0	0	0
Community-based micro projects funding (70 projects)	Project	45	10000	0	500,000	0	0	0	500,000	0	150,000	200,000	150,000	0
Sub-contract for NGOs to monitor projects' implementation	Lumpsum	N/A	N/A	0	136,000	0	0	0	136,000	0	70,000	66,000	0	0
Master thesis on FLR (2 thesis)	Lumpsum	N/A	N/A	0	0	0	15,200	0	15,200	0	0	10,200	5,000	0
MoU with government institutions to support and monitor the interventions at the local level	Lumpsum	N/A	N/A	0	0	0	36,000	0	36,000	7,200	7,200	7,200	7,200	7,200
5650 Sub-total Contracts				0	771,000	0	51,200	0	822,200	60,200	267,200	325,400	162,200	7,200
5900 Travel														
Travel for International project consultants	Lumpsum	N/A	N/A	38,000	0	0	20,000	0	58,000	22,000	9,000	9,000	9,000	9,000
Travel for PMU members including initial training	Lumpsum	N/A	N/A	18,000	0	0	0	0	18,000	18,000	0	0	0	0
Travel for national project consultants	Lumpsum	N/A	N/A	7,500	0	0	0	0	7,500	7,500	0	0	0	0
Exchange visits to other sites with relevant experience	Lumpsum	N/A	N/A	0	0	0	30,000	0	30,000	0	0	5,000	20,000	5,000
Participation to knowledge-sharing events of Global TRI project (1 per year for 2 people)	Workshop	5	5500	0	0	0	27,500	0	27,500	5,500	5,500	5,500	5,500	5,500

TRI financial management events (every 2 years)	Workshop	2	5500	0	0	0	11,000	0	11,000	0	5,500	0	5,500	0
5900 Sub-total travel				63,500	0	0	88,500	0	152,000	53,000	20,000	19,500	40,000	19,500
5023 Training														
Meetings and workshops (1 in Kinshasa and 1 in Bukavu)	Lumpsum	N/A	N/A	3,500	0	0	0	0	3,500	3,500	0	0	0	0
Meetings and workshops (2 in Kinshasa, 2 in Bukavu)	Lumpsum	N/A	N/A	7,000	0	0	0	0	7,000	7,000	0	0	0	0
Meetings and workshops (4 in Kinshasa, 1 in Bukavu)	Lumpsum	N/A	N/A	9,500	0	0	0	0	9,500	9,500	0	0	0	0
Inception meeting and PSC meetings	Lumpsum	N/A	N/A	18,000	0	0	0	0	18,000	18,000	0	0	0	0
Meetings and workshops (6 in Kinshasa, 3 in Bukavu)	Lumpsum	N/A	N/A	16,500	0	0	0	0	16,500	6,500	10,000	0	0	0
Meetings and workshops (5 in Walungu and 5 in Kabare)	Workshop	10	1500	15,000	0	0	0	0	15,000	15,000	0	0	0	0
Meetings and workshops (82 meetings)	Workshop	90	1000	82,000	0	0	0	0	82,000	40,000	42,000	0	0	0
Meetings and workshops (LTMC meetings every 3 months)	Meeting	200	20	4,000	0	0	0	0	4,000	800	800	800	800	800
Meetings and workshops (2 workshops in Kabare and 2 workshops in Ngweshe)	Workshop	4	1500	0	6,000	0	0	0	6,000	6,000	0	0	0	0
Meetings and workshops (3 meetings in each Chiefdom, 2 meetings in Bukavu)	Lumpsum	N/A	N/A	0	8,000	0	0	0	8,000	8,000	0	0	0	0
Meetings and workshops (4 meetings in each Chiefdom, 3 meetings in Bukavu)	Lumpsum	N/A	N/A	0	11,000	0	0	0	11,000	11,000	0	0	0	0
Workshops with local communities (8 per chiefdom)	Lumpsum	N/A	N/A	0	16,000	0	0	0	16,000	16,000	0	0	0	0
Awareness-raising and training for the strengthening or creation of Dimitra Clubs	Lumpsum	N/A	N/A	0	11,000	0	0	0	11,000	11,000	0	0	0	0
Workshops with local communities (3 per Chiefdoms)	Workshop	6	1000	0	6,000	0	0	0	6,000	6,000	0	0	0	0
Workshops at the provincial and local levels (2 in Bukavu, 3 in Kabare, 3 in Ngweshe)	Lumpsum	N/A	N/A	0	12,000	0	0	0	12,000	0	12,000	0	0	0

Meetings and negociations with pastoralists and land owners	Lumpsum	N/A	N/A	0	20,000	0	0	0	20,000	0	20,000	0	0	0
Training sessions to APFS leaders on CEP management, climate-smart agriculture, reforestation, pastoral resources management and monitoring (240 leaders and 48 extension experts)	Lumpsum	N/A	N/A	0	19,500	0	0	0	19,500	0	19,500	0	0	0
Training sessions with local communities for the development of project proposals	Lumpsum	N/A	N/A	0	12,000	0	0	0	12,000	12,000	0	0	0	0
Training sessions on the ground through learning-by-doing	Lumpsum	N/A	N/A	0	136,920	0	0	0	136,920	0	76,920	60,000	0	0
Training sessions on the ground through learning-by-doing	Lumpsum	N/A	N/A	0	14,000	0	0	0	14,000	0	0	10,000	4,000	0
Meetings and workshops (240 associations)	Lumpsum	N/A	N/A	0	60000	0	0	0	60000	40000	10000	10000	0	0
Meetings and workshops with financial institutions	Lumpsum	N/A	N/A	0	5000	0	0	0	5000	0	0	4000	1000	0
Meetings and workshops with local communities (5 in each Chiefdom)	Workshop	10	1000	0	10000	0	0	0	10000	0	0	7000	3000	0
Meetings and workshops to increase institutional capacity (2 in Bukavu)	Workshop	2	1500	0	0	3,000	0	0	3,000	1,500	1,500	0	0	0
Training workshops on technical gaps (10 workshops)	Lumpsum	10	1500	0	0	15,000	0	0	15,000	8,000	7,000	0	0	0
Meetings and workshops to increase institutional capacity (2 in Bukavu)	Lumpsum	2	1500	0	0	3,000	0	0	3,000	0	2,000	1,000	0	0
Meetings and workshops with government institutions, research institutions, universities and civil society	Lumpsum	N/A	N/A	0	0	12,000	0	0	12,000	12,000	0	0	0	0
Meetings and workshops (4 in Kinshasa, 4 in Bukavu)	Lumpsum	N/A	N/A	0	0	14,000	0	0	14,000	0	0	14,000	0	0
Meetings and workshops on FONAREDD (3 in Kinshasa, 2 in Bukavu)	Lumpsum	N/A	N/A	0	0	10,500	0	0	10,500	0	10,500	0	0	0

Workshops on proposal development (3 in Kinshasa, 6 in Bukavu and other provinces)	Lumpsum	N/A	N/A	0	0	15,000	0	0	15,000	0	3,000	12,000	0	0
Awareness-raising events in schools	Lumpsum	N/A	N/A	0	0	0	12,000	0	12,000	0	0	6,000	6,000	0
Meetings and workshops with universities and technical training institutions (4 in Kinshasa, 2 in Bukavu)	Lumpsum	N/A	N/A	0	0	0	11,000	0	11,000	0	0	6,000	5,000	0
Training sessions for decentralised staff (communication agents and trainers) (5 in each Chiefdoms)	Lumpsum	10	1500	0	0	0	15,000	0	15,000	0	5,000	8,000	2,000	0
Knowledge-sharing events in Bukavu and other provinces (1 in Y3, 3 in Y4 and 3 in Y5)	Lumpsum	7	3000	0	0	0	21,000	0	21,000	0	0	3,000	9,000	9,000
Knowledge-sharing events in Kinshasa and other countries including South-South Exchanges (2 in Y4 and 4 in Y5)	Lumpsum	6	7000	0	0	0	42,000	0	42,000	0	0	0	12,000	30,000
5023 Sub-total training				155,500	347,420	72,500	101,000	0	676,420	231,800	220,220	141,800	42,800	39,800
6000 Expendable procurement														
M&E tools and equipment for the functioning of the observatory	Lumpsum	N/A	N/A	0	0	16,000	0	0	16,000	10,000	6,000	0	0	0
Material and equipment for products processing and storage	Lumpsum	N/A	N/A	0	73,000	0	0	0	73,000	0	0	50,000	23,000	0
Small management equipment and tools	Lumpsum	N/A	N/A	27,000	0	0	0	0	27,000	10,000	17,000	0	0	0
Material and equipment to strengthen APFS	Lumpsum	N/A	N/A	0	25,000	0	0	0	25,000	0	25,000	0	0	0
Material and equipment for the implementation of soil conservation infrastructure including terracing (500 ha)	Hectare	500	250	0	125,000	0	0	0	125,000	0	70,000	55,000	0	0
Material and equipment for reforestation including nurseries, inputs, small equipment and delimitation of the sites (500 ha)	Hectare	500	300	0	150,000	0	0	0	150,000	0	90,000	60,000	0	0

Material and equipment for guarding, delimitation and enrichment planting where necessary (1500 ha)	Hectare	1500	40	0	60,000	0	0	0	60,000	0	40,000	20,000	0	0
Material and equipment for climate-resilient agriculture including seeds (60 ha)	Hectare	60	300	0	18,000	0	0	0	18,000	0	10,000	8,000	0	0
Material and equipment for agroforestry (440 ha)	Hectare	440	180	0	79,200	0	0	0	79,200	0	40,000	39,200	0	0
Material and equipment to increase productivity of pastoral land (300 ha)	Hectare	300	100	0	30,000	0	0	0	30,000	0	15,000	15,000	0	0
Equipment to implement awareness-raising sites in schools through Junior Farmer Field Schools including establishment of nurseries	Lumpsum	N/A	N/A	0	0	0	24,000	0	24,000	0	0	14,000	10,000	0
M&E tools and equipment for project M&E	Lumpsum	N/A	N/A	0	0	0	10,000	0	10,000	5,000	5,000	0	0	0
Communication tools and material	Lumpsum	N/A	N/A	0	0	0	66,000	0	66,000	0	10,000	20,000	20,000	16,000
6000 Sub-total expendable procurement				27,000	560,200	16,000	100,000	0	703,200	25,000	328,000	281,200	53,000	16,000
6100 Non-expendable procurement														
Small equipment and software	Lumpsum	N/A	N/A	6,000	0	0	0	0	6,000	6,000	0	0	0	0
Computers, printers, and other office equipment	Lumpsum	N/A	N/A	12,000	0	0	0	0	12,000	12,000	0	0	0	0
Car Offroad (Pickup)	Car	1	40,000	0	40,000	0	0	0	40,000	40,000	0	0	0	0
6100 Sub-total non-expendable procurement				18,000	40,000	0	0	0	58,000	58,000	0	0	0	0
6300 GOE budget														
Terminal Report	Lumpsum	N/A	N/A	7,000	0	0	0	0	7,000	0	0	0	0	7,000
6300 Sub-total GOE budget				7,000	0	0	0	0	7,000	0	0	0	0	7,000
TOTAL				445,500	2,131,370	343,750	507,950	171,430	3,600,000	887,486	1,071,906	984,386	440,236	215,986

SUBTOTAL Comp 1	445,500
SUBTOTAL Comp 2	2,131,370
SUBTOTAL Comp 3	343,750

SUBTOTAL Comp 4	507,950
Subtotal	3,428,570
Project Management Cost (PMC)	171,430
TOTAL GEF	3,600,000

ANNEX 4: THE PROJECT RISK LOG

A. Risks

Risk No.	Risk statement	Impact	Likelihood	Overall ranking	Mitigating action	Action owner
Political risk: Provincial, territorial and local authorities do not fully support the resolution of governance problems regarding land-use because of the development challenges faced by the province and economic stakes.	Local communities do not feel confident to invest in the land if they do not feel that their rights are secured. The benefits of the project are only raised in the short term.	Medium-high	Medium-low		Several workshops will be organised at the onset of the project to identify all the potential land-use issues. Mitigation strategies will be developed in a participatory with an implementation plan and official agreements with the responsible parties.	Provincial government and decentralised government entities in the sectors of environment, agriculture, mining and land affairs.
Institutional risk: Difficulties in institutional cooperation between Environment, Agriculture and Mines sectors preventing to improve the policy framework and resolve the contradictions for improved management of natural resources.	The project activities are not integrated and implemented in isolation, which affects the project results and prevent the project benefits from being sustainable.	Medium-high	Low		Cross-sectorality has been promoted during project preparation through the participation of all the relevant sectors during the inception and validation workshops. It will continue to be promoted throughout the project implementation phase via the bi-annual multi-sectoral PSC meetings, multi-sectoral training workshops, and MoUs with relevant sectors for the implementation of specific activities. This will improve knowledge sharing, communication and coordination between the sectors involved in natural resources management.	Provincial government and decentralised government entities in the sectors of environment, agriculture, mining and land affairs.
Social risk: Indigenous communities leaving in the surroundings of PNKB do not support the project.	Indigenous communities will continue to exploit natural resources in PNKB and will not take the opportunity to benefit from the project.	Medium-high	Low		The on-the-ground interventions of the project will be designed in collaboration with indigenous communities to enable their ownership of the project interventions and ensure that the project raise direct benefits for these communities.	Provincial Government, Decentralised Government Entities, indigenous communities and FAO Bukavu

Land-tenure risk: The unclear land ownership between the government and traditional authorities is likely to present the project from receiving the support of these major stakeholders.	Disagreements between government and traditional Chiefs prevent the success of the project regarding the sustainable management of natural resources.	Medium-high	Medium-low		Potential land ownership issues will be assessed as a priority as part of the design of specific on the ground interventions. Only the sites where government representatives and traditional Chiefs have clear responsibilities, ownership over land, and a good relationship will be selected.	Traditional authorities, provincial government, decentralised government Entities and FAO Bukavu
Natural resources ownership risk: Property rights' conflicts between land owners, the government and traditional Chiefs over the trees planted on private land will likely arise.	The objectives of erosion control and climate change mitigation are not met because the planted trees are degraded after the end of the project.	Medium-Low	Low		Land and trees ownership systems will be clearly defined and signed off before starting the implementation of the interventions on the ground. A management plan for all the outputs of the project – including the planted trees – will be developed in a participatory manner and signed of by all the relevant actors.	Local communities, Traditional authorities, provincial government, decentralised government Entities, MEDD, FAO Kinshasa and FAO Bukavu
Ecological risk Climate change including short and intense rainfall, long drought periods (and correlated bushfires) prevent the restoration interventions from being successful in the long term.	The restoration interventions are not sustainable because of high mortality rate induced by climate hazards or competition with an invasive species. The income generating activities developed by the project – that depend on healthy ecosystems – are not viable. As a result, local communities' vulnerability to climate change remains unchanged.	Low	Low		Observed climate changes and future climate scenarios will be taken into account when designing the restoration activities and selecting the set of species to be planted. Only climate-resilient species will be promoted by the project as well as species diversity and complementarity. The selection criteria for each species will include *inter alia:* climate-resilient, indigenous (or naturalized) and fire resilient.	Local communities, provincial government, MEDD, FAO Kinshasa and FAO Bukavu

B. Environmental and Social risks

N/A

ANNEX 5: RISK CLASSIFICATION CERTIFICATION FORM

After completing the E&S screening checklist, the LTO completes and certifies this certification form.

Project symbol: GCP/DRC/054/GFF

Project title: Restauration et de Gestion durable des Écosystèmes agricoles Montagneux (RGEM) du Sud Kivu

1. **RISK CLASSIFICATION**

[X] Low [ ] Moderate [ ] High

1. Record key risk impacts from the E&S Screening Checklist

_____ _____

_____ _____

2. Has the project site and surrounding area been visited by the compiler of this form?

[X] Yes [ ] No

2. **STAKEHOLDER CONSULTATION/ ENGAGEMENT**

Identification of stakeholder(s)	Date	Participants	Location

A. Summarize key risks and impacts identified from the stakeholder engagement

_____ _____

_____ _____

B. Have any of the stakeholders raised concerns about the project?

_____

_____

____

The LTO confirms the information above

Date: 15 November 2017

Signature

ANNEX 6: TERMS OF REFERENCE OF PROJECT MANAGEMENT UNIT STAFF

A.6.1 Terms of Reference of the National Project Coordinator (NPC)

Duties and Responsibilities

A Project Manager (PM) will be selected jointly by MEDD, MINAGRIPEL, MATUH and FAO through a transparent and open selection process. Under the guidance of the NPC representing MEDD and the Budget Holder (BH --FAO Representative in Kinshasa), and with technical guidance from the LTO and HQ Technical Officer (LTU), the PM will be responsible for the day-to-day management of the project. He/she will be responsible for the overall planning, coordination of project activities, and monitoring of project results. Specifically, he/she will carry out the following tasks:

- Prepare and supervise the implementation of Annual Work Plans and Budget (AWP/B);
- In accordance with the approved AWP/B, develop detailed TORs for short-term consultants and contracts, assist with their selection and recruitment, then monitor and supervise their work to ensure timely delivery of outputs to an acceptable standard;
- Select the community-based micro-projects of Component 2 together with the project coordinator and with support from the LTMC and the PSC;
- Monitor and maintain records of actual project expenditures;
- Assist in the set-up and implementation of the project M&E system;
- Closely monitor project implementation and results and prepare project progress reports;
- Collect other co-financing partners' data and consolidate data into the PPR;
- Convene regular meetings in order to coordinate project activities with the co-financing projects, exchange lessons learned and harmonize approaches;
- Ensure regular communication and promote close collaboration with development partners, collaborating institutions and other stakeholders;
- Make all necessary arrangements and preparations for the missions of the international consultants and FAO backstopping officers, including domestic logistic support, mission schedule, availability of relevant documents, and meetings with relevant officials as needed;
- Facilitate the different workshops to be organized during the project period and assume full responsibility in preparing workshop reports/proceedings as applicable;
- Provide technical advice to ensure that that the appropriate approaches are followed during project implementation (participatory and integrated approaches, multi-stakeholder participation, etc.).
- Perform other duties as may be required in order to ensure that project operations proceed according to schedule and foreseen project results are achieved.

Minimum requirements

Candidates should meet the following criteria:

- Advance degree in forestry, natural resource management or other relevant specialization.
- A minimum of 5 years of experience in the management of UN agencies' environment projects.
- A minimum of 10 years of relevant professional experience, including practical experience in the implementation of interventions for the sustainable management of natural resources such as forests, institutional networking and decision-making advice.
- Proficiency in Excel, Word, PowerPoint, MS Office.

Location: Bukavu, with extensive travel to the project sites

Duration: Full-time (5 years - full project life)

Language: Working knowledge in English and French (mandatory).

A.6.2 Terms of Reference of the Project Assistant

Duties and Responsibilities

Under the general supervision of the FAO Representative in Kinshasa (Budget Holder) and the Project Coordinator, and in close collaboration with the project executing partners, the Project Assistant will take the operational responsibility for timely delivery of the project outcomes and outputs. In particular, he/she will perform the following main tasks:

- Ensure smooth and timely implementation of project activities in support of the results-based workplan, through operational and administrative procedures according to FAO rules and standards;
- Coordinate the project operational arrangements through contractual agreements with key project partners;
- Arrange the operations needed for signing and executing contracts and MoUs;
- Maintain inter-departmental linkages with FAO units for donor liaison, Finance, Human Resources, and other units as required;
- Day-to-day manage the project budget, including the monitoring of cash availability, budget preparation and budget revisions to be reviewed by the NPC;
- Ensure the accurate recording of all data relevant for operational, financial and results-based monitoring;
- Ensure that relevant reports on expenditures, forecasts, progress against workplans, project closure, are prepared and submitted in accordance with FAO and GEF defined procedures and reporting formats, schedules and communications channels, as required;
- Execute accurate and timely actions on all operational requirements for personnel-related matters, equipment and material procurement, and field disbursements;
- Participate and represent the project in collaborative meetings with project partners and the PSC, as required;
- Initiate travel authorizations for staff and non-staff, prepare travel expense claims and secondment reports using the Organization's computerized travel system;
- Assist in the preparation of meetings, workshop and seminars, book meeting rooms and assure that all necessary arrangements are made;
- Be responsible for results achieved within her/his area of work and ensure issues affecting project delivery and success are brought to the attention of higher level authorities through the BH in a timely manner,
- In consultation with the FAO Evaluation Office, and the FAO-GEF Coordination Unit, support the organization of the mid-term and final evaluations, and provide inputs regarding project budgetary matters.

Minimal requirements

- Advanced Degree in Business Administration, or related fields.
- A minimum of 5 years of experience in project operation and management related to natural resources management, including field experience in developing countries.
- Experience with the implementation of GEF-funded project would be a strong advantage.
- Demonstrated knowledge of FAO's project management systems.

Location: Bukavu with field visits to project targeted areas
Duration: Full-time (5 years - full project life)
Language: French (mandatory) and English (preferred)

A.6.3 Terms of Reference of the M&E Expert

Duties and Responsibilities

A national M&E Expert will be selected jointly by FAO and MEDD through a transparent and open selection process. The consultant will report directly to the Budget Holder (FAO DRC) and to the National Project Coordinator. The M&E Expert will provide technical advice on project monitoring and evaluation. In particular, the consultant will:

- Set up the project's M&E strategy in coordination with the National Project Coordinator;
- Assist the National Project Coordinator in the regular monitoring of the project's activities;
- Contribute to the preparation of Annual Work Plans and Budgets;
- Participate and represent the project in collaborative meetings with project partners and PSC meetings, as required;
- Undertake missions as appropriate to monitor project progress in the field; and
- Perform other related duties as required.

Minimal Requirements

- Advanced university degree in a field related to natural resources management and project monitoring and evaluation;
- At least 5 years of experience with results-based M&E systems;
- Ability to work with various partners (including donors), as a member of a team;
- Ability to take initiatives and to work with minimum supervision; and
- Knowledge of FAO and GEF M&E requirements and knowledge of natural resources' management is desirable.
- **Location:** Bukavu with field visits to project targeted areas
- **Duration:** Full-time (5 years - full project life)
- **Languages:** French (mandatory) and English (preferred)

A.6.4 Terms of Reference of the Communication Expert

Duties and Responsibilities

A national Communication Expert will be selected jointly by FAO and MEDD through a transparent and open selection process. The consultant will report directly to the National Project Coordinator and the Project Assistant. The Communication Expert will be in charge of organising and overseeing all the communication interventions of the project (see Section 4.6):

- Set up the project's communication and awareness-raising strategy and work plan in coordination with the National Project Coordinator and the Project Assistant;
- Design communication products (e.g. signs, pamphlets, posters, school booklets, content for web pages) and support the selection process for specific service providers where needed (e.g. TV documentaries, radio talks);
- Implement communication interventions on the ground, and supervise the work of service providers hired for specific communication interventions (e.g. TV documentaries, radio talks);
- Contribute to the preparation of the Annual Work Plans and Budgets regarding the communication interventions;
- Undertake regular missions in the field to organise awareness-raising and communication events and to ensure appropriate implementation of the communication interventions by specific service providers; and
- Perform other related duties as required.

Minimal Requirements

- Advanced university degree in a field related to communication, media and social sciences;
- At least 10 years of experience with the design and implementation of awareness-raising and communication interventions;
- At least 5 years of experience with environment projects, and proven knowledge of the fields of natural resources management particularly forests, climate change adaptation and sustainable development;
- Ability to work with various partners as a member of a team;
- Ability to take initiatives and to work with minimum supervision; and
- Knowledge of FAO and GEF projects is desirable.
- **Location:** Bukavu with field visits to project targeted areas
- **Duration:** Full-time (5 years - full project life)
- **Language:** French (mandatory), local languages (mandatory) and English (preferred)

A.6.5 Terms of References of Operations and Administrative Officer (national/full time)

Under the general supervision of the FAO Representative in DRC (Budget Holder) and the Project Coordinator, and in close collaboration with the project executing partners, the Operations and Administrative Officer will take the operational responsibility for timely delivery of the project outcomes and outputs. In particular, he/she will perform the following main tasks:

- Ensure smooth and timely implementation of project activities in support of the results-based workplan, through operational and administrative procedures according to FAO rules and standards;
- Coordinate the project operational arrangements through contractual agreements with key project partners;
- Arrange the operations needed for signing and executing Letters of Agreement (LoA) and Government Cooperation Programme (GCP) agreement with relevant project partners;
- Maintain inter-departmental linkages with FAO units for donor liaison, Finance, Human Resources, and other units as required;

- Day-to-day manage the project budget, including the monitoring of cash availability, budget preparation and budget revisions to be reviewed by the Project Coordinator;
- Ensure the accurate recording of all data relevant for operational, financial and results-based monitoring;
- Ensure that relevant reports on expenditures, forecasts, progress against workplans, project closure, are prepared and submitted in accordance with FAO and GEF defined procedures and reporting formats, schedules and communications channels, as required;
- Execute accurate and timely actions on all operational requirements for personnel-related matters, equipment and material procurement, and field disbursements;
- Participate and represent the project in collaborative meetings with project partners and the Project Steering Committee, as required;
- Undertake missions to monitor the outputs-based budget, and to resolve outstanding operational problems, as appropriate;
- Be responsible for results achieved within her/his area of work and ensure issues affecting project delivery and success are brought to the attention of higher level authorities through the BH in a timely manner,
- In consultation with the FAO Evaluation Office, the LTO, and the FAO-GEF Coordination Unit, support the organization of the mid-term and final evaluations, and provide inputs regarding project budgetary matters; and
- Provide inputs and maintain the FPMIS systems up-to-date.

ANNEX 7: SOME SUGGESTED SITES FOR THE IMPLEMENTATION OF ON-THE-GROUND INTERVENTIONS OF COMPONENT 2

A. Walungu Territory

Chiefdom	Suggested sites	Surface (ha)	Owned by	Past or on-going restoration interventions	Main challenges	Activities	Units	Targets
Ngweshe	**Businga**	967	State	Reforestation by Environment Ministry and GIZ	Bare land, erosions, landslides	Erosion-control interventions (living fences, terraces)	Ha	100
						Reforestation	Ha	200
						Agroforestry	Ha	75
	Katuba	40	Private	Tree planting by local association without knowledge on agroforestry	Bare land, erosions, landslides	Erosion-control interventions (living fences, terraces)	Ha	5
						Reforestation	Ha	15
						Agroforestry	Ha	15
	Chisheke	830	State	Tree planting by local association without knowledge on agroforestry	Bare land, erosions, landslides	Erosion-control interventions (living fences, terraces)	Ha	150
						Reforestation	Ha	200
						Agroforestry	Ha	100
	Iliranlabo	7			Bare land, erosions, landslides	Erosion-control interventions (living fences, terraces) and agroforestry	Ha	7
	Bihembe hill	21	Community	Tree planting by local association without knowledge on agroforestry	Reduction in soil fertility	Erosion-control interventions (living fences, terraces) and agroforestry	Ha	20
	Nyanfunze	18	State	None	Steep slope	Reforestation	Ha	18

	Ibona	8	State	Tree planting by local association without knowledge on agroforestry	Reduction in soil fertility and erosion	Erosion-control interventions (living fences, terraces) and agroforestry	Ha	8
	Bangwe bihembe	45	Community	Tree planting by local association without knowledge on agroforestry	Reduction in soil fertility and erosion	Erosion-control interventions (living fences, terraces) and agroforestry	Ha	30
	Ciherano	55	Plateform Diobass	Food security	Reduction in soil fertility and erosion	Erosion-control interventions (living fences, terraces) and agroforestry	Ha	30
						Crop cultivation	Ha	25
	Muku/Kamisimbi	40	CBCA	Food security	Reduction in soil fertility and erosion	Erosion-control interventions (living fences, terraces) and agroforestry	Ha	30
Total		**2031**						**1028**

B. Kabaré Territory

Chiefdom	**Suggested sites**	**Surface (ha)**	**Owned by**	**Past or on-going restoration interventions**	**Main challenges**	**Activities**	**Units**	**Targets**
KABARE	Mushweshwe	500	ISEAV	Tree planting by local association without knowledge on agroforestry	Bare land	Reforestation	Ha	100
					Erosion	Agroforestry	Ha	50
					Degraded ecosystems	Erosion-control interventions	Ha	50
	CRSN Lwiro	370	CRSN Lwiro	Crop cultivation without reforestation	Reduction in soil fertility and erosion	Reforestation	Ha	60
						Agroforestry	Ha	200
	Mulungu	500	INERA	Tree planting by local association without	Reduction in soil fertility	Reforestation	Ha	20
					Erosion	Agroforestry	Ha	40

				knowledge on agroforestry	Degraded ecosystems	Erosion-control interventions	Ha	30
	Kalubwa	2 000	NGO Anti-Bwaki Committee	Reforestation	Reduction in soil fertility	Reforestation	Ha	25
					Erosion	Agroforestry	Ha	20
					Degraded ecosystems	Erosion-control interventions	Ha	25
	Kabaré	2500	Company OLIVE	Reforestation with eucalyptus and other species	Reduction in soil fertility and erosion	Erosion-control interventions (living fences, terraces) and agroforestry	Ha	25
						Erosion-control interventions (living fences, terraces), agroforestry and reforestation	Ha	50
Total		**5 870**						**695**
TOTAL		**7 901**						**1 723**

ANNEX 8: TREE SPECIES PRE-IDENTIFIED FOR THE DEVELOPMENT OF AGROFORESTRY UNDER THE TRI CHILD PROJECT

Within the list of main species used for reforestation in South-Kivu, the most commonly used are *Grevillea*, *Eucalyptus* and *Cedrela*[84]. Indigenous species are absent from this list of the main species used. However, two indigenous species – *Maesopsis eminii* and *Markhamia lutea* – are mentioned for use in agroforestry activities. Some *Entandrophragma excelsum* and *Podocarpus usambarensis* have also been planted in South-kivu outside of natural forests.

Entandrophragma excelsum could potentially be interesting for large-scale reforestation interventions at high altitude. In Rwanda, this species has been successfully used in Rwanda in agroforestry system. For example, soya seems to grown very well under these trees. Complementary studies would necessary to test if this species could be suitable for the TRI child project interventions. *Podocarpus usambarensis* is another interesting indigenous species for reforestation on forest edges and within forests.

Based on some experiments undertaken in Rwanda in the same agroecological zone as South-Kivu, the following species could be suitable for the TRI child project interventions:

- *Podocarpus usambarensis*
- *Ficalhoa laurifolia*
- *Polyscias fulva*
- *Entandrophragma excelsum*
- *Newtonia buchanii*
- *Carapa grandiflora*
- *Symphonia globulifera*
- *Prunus Africana*
- *Olea hochstetteri*
- *Maesopsis eminii*
- *Markhamia lutea*

List of agroforestry species currently used in South-Kivu[85]:

- *Alangium chinense*
- *Albizia adianthifolia*
- *Albizia gummifera*
- *Anthocleista grandiflora*
- *Arundinaria alpina*
- *Bambusa vulgaris*
- *Bridelia micrantha*
- *Carapa grandiflora*
- *Celtis africana*
- *Croton macrostachyus*
- *Dichrostachys cinerea*
- *Draceana afro-montana*
- *Ekebergia capensis*
- *Entandrophragma excelsum*
- *Erythrina abyssinica*

[84] Jacques DE CUYPERE, **Modèle pour le choix des essences forestières et agroforestières dans le cadre du zonage agro bioclimatique du Sud-Kivu,** PBF programme, GIZ, March 2013.

[85] Jacques DE CUYPERE, Opt-cit

- *Eucalyptus citriodora*
- *Faurea saligna*
- *Ficalhoa laurifolia*
- *Ficus exasperata*
- *Ficus glumosa*
- *Ficus sycomorus*
- *Ficus thonningii*
- *Gilbertiodendron dewevrei*
- *Hagenia abyssinica*
- *Harungana madagascariensis*
- *Ilex mitis*
- *Khaya nyasica* (or *K. anthotheca*)
- *Maesa lanceolata*
- *Maesopsis eminii*
- *Markhamia lutea*
- *Milicia excelsa* (or *Chlorophora excelsa*)
- *Millettia dura*
- *Millettia laurentii*
- *Musanga cecropioides*
- *Myrianthus arboreus*
- *Neoboutonia macrocalyx*
- *Newtonia buchanani*
- *Olea hostteteri*
- *Pentaclethra macrophylla*
- *Pericopsis elata*
- *Petersianthus macrocarpus*
- *Piptadeniastrum africanum*
- *Podocarpus usambarensis* (or *P. falcatus*)
- *Polyscias fulva*
- *Prunus africana*
- *Ricinodendron heudelotii*
- *Sapium ellipticum*
- *Sesbania sesban*
- *Symphonia globulifera*
- *Syzygium cordatum*
- *Syzygium guineense*
- *Tephrosia vogelii*
- *Terminalia superba*
- *Trema orientalis*
- *Uapaca guineensis*
- *Uapaca kirkiana*
- *Vernonia amygdalina*
- *Zanthoxylum gilletii* (or *Fagara macrophylla*)

ANNEX 9: EXAMPLE OF SMALL-SCALE FINANCIAL STRUCTURE THAT COULD BE PROMOTED BY THE PROJECT: VILLAGE ASSOCIATIONS FOR SAVINGS AND CREDITS (AVEC)

AVEC are managed by local communities and autonomous. It is not linked or dependant on any financial institution. The members (10 to 25 people) are individuals from the village that make savings through buying shares. All the savings form a credit fund that members can access and reimburse later with some extra costs. This system enables local communities who do not have access to formal financial facilities to obtain small loans. All decisions and transactions are made during meetings – every week, every two weeks or every four weeks according to the decision of the members – where all the members participate for transparency. Each member can buy one to five shares at each meeting. The cost of shares is defined based on the income of the poorest members to give them the opportunity to buy at least one share at each meeting, while ensuring that the amount of five shares is aligned to the saving objectives of the other members. The funds are kept in a locked box.

Loans can be attributed every four weeks. Every member has the same access rights for a loan. The maximum amount that can be accessed by one member corresponds to three times the total value of the shares bought by this member, plus the benefits made from loans and from fines. The reimbursement timeline is defined by the AVEC and cannot excess six months. Interest rates have to be paid every four weeks based on the remaining amount due. However, no penalties are attributed for delays in reimbursing.
At the end of each savings and loans cycle that usually last for nine months to one year, the savings and the benefits are distributed between all the members. The amount given is proportional to the financial contribution made by the member during the cycle. This sharing meeting is followed for by the first meeting of the new cycle during which members can contribute as much as the moment received to the new credit fund.

A fixed contribution to a solidarity fund – independent from the credit fund – is also paid by each member. This fund provides small amounts of money for specific activities such as emergency support, funeral expenses or education costs for orphans. Anyone needing help from the solidarity fund has to request it publically during an meeting of the general assembly who have to take the decision and – if accepted – the money can be given immediately.

Men and women can be members of AVEC. When some members are women, at least three out of the five members (i.e. a president, an administrative assistant, a financial assistant and two book keepers) elected to be part of the Management Committee have to be women. Members working for the government cannot be part of the Management Committee. The members of the Management Committee are elected at the beginning of every cycle during the General Assembly.

Each AVEC first defines rules of procedure to define: i) the management system, conflict resolution process and sanctions ; and ii) requirements for buying shares, and requirements to access funds from the credit fund. Each member has to sign the rules of procedure.

ANNEX 10: ENVIRONMENTAL AND SOCIAL RISK IDENTIFICATION: APPLICABLE ENVIRONMENTAL AND SOCIAL SAFEGUARDS

SAFEGUARD 1 NATURAL RESOURCES MANAGEMENT

	Management of soil and land resources	No	Yes
1.1	Could this project result in the degradation (biological or physical) of soils	X	
1.2	Could this project undermine sustainable land management practices?	X	
	Management of water resources and small dams		
1.3	Would this project develop an irrigation scheme that is more than **20 hectares** or withdraws more than **1000 m^3/day** of water?	X	
1.4	Would this project develop an irrigation scheme that is more than **100 hectares** or withdraws more than **5000 m^3/day** of water?	X	
1.5	Would this project aim at improving an irrigation scheme (without expansion)?	X	
1.6	Could this project affect the quality of water either by the release of pollutants or by its use, thus affecting its characteristics (such as temperature, pH, DO, TSS or any other?	X	
1.7	Would this project include the usage of wastewater?	X	
1.8	Would this project involve the construction or financing of a dam that is more than **15 m**. in height?	X	
1.9	Would this project involve the construction or financing of a dam that is more than **5 m**. in height?	X	
	Tenure		
1.10	Could this project result in a negative change to existing legitimate tenure rights?	X	
	Climate		

1.11	Could this project result in a reduction of the adaptive capacity to climate change for any stakeholders in the project area?		**X**	
1.12	Could this project result in a reduction of resilience against extreme weather events?		**X**	
1.13	Could this project result in a net increase of GHG emissions beyond those expected from increased production?		**X**	
	1.13.1	Is the expected increase below the level specified by FAO guidance or national policy/law (whichever is more stringent)?	**N/A**	
	1.13.2	Is the expected increase above the level specified by FAO guidance or national policy/law (whichever is more stringent)?	**N/A**	

SAFEGUARD 2 BIODIVERSITY, ECOSYSTEMS AND NATURAL HABITATS

	Protected areas, buffer zones or natural habitats	No	Yes
2.1	Would this project be implemented within a legally designated protected area or its buffer zone?		**X** Part of the project interventions will be implemented in the buffer zone of KBNP. These interventions aim to increase forest cover, sustainably increase agricultural and pastoral productivity, promote the use of improved cook stove and generate income from non-timber forest resources in this buffer zone. All these activities in the buffer zone of the KBNP will reduce the dependence of local communities including indigenous communities on the natural resources within the park boundaries thereby preventing future degradation of the KBNP natural resources.
	Biodiversity Conservation		
2.2	Could this project change a natural ecosystem to an agricultural/aquacultural/forestry production unit with a reduced diversity of flora and fauna?	**X**	
2.3	Could this project increase the current impact on the surrounding environment for example by using more water, chemicals or machinery than previously?	**X**	
	Use of alien species		
2.4	Would this project use an alien species which has exhibited an *invasive** behavior in the country or in other parts of the world or a species with unknown behavior? **An invasive alien species is defined by the Convention on Biological Diversity as "an alien species whose introduction and/or spread threaten biological diversity" (see https://www.cbd.int/invasive/terms.shtml).*	**X**	
	Access and benefit sharing for genetic resources		
2.5	Would this project involve access to genetic resources for their utilization and/or access to traditional knowledge associated with genetic resources that is held by indigenous, local communities and/or farmers?	**X**	

SAFEGUARD 3 PLANT GENETIC RESOURCES FOR FOOD AND AGRICULTURE

	Introduce new crops and varieties	No	Yes
3.1	Would this project Introduce crops and varieties previously not grown?		**X** • Follow appropriate phytosanitary protocols in accordance with IPPC

				• Take measures to ensure that displaced varieties and/or crops, if any, are included in the national or international *ex situ* conservation programmes
	Provision of seeds and planting materials			
3.2	Would this project provide seeds/planting material for cultivation?			**X**
	3.2.1	Would this project involve the importing or transfer of seeds and/or planting materials for cultivation?	**X**	
	3.2.2	Would this project involve the importing or transfer of seeds and/or planting materials for research and development?	**X**	
	Modern biotechnologies and the deployment of their products in crop production			
3.3	Would this project supply or use modern plant biotechnologies and their products?		**X**	
	Planted forests			
3.4	Would this project establish or manage planted forests?			**X** • Adhere to existing national forest policies, forest programmes or equivalent strategies. • The observance of principles 9, 10, 11 and 12 of the Voluntary Guidelines on Planted Forests suffice for indigenous forests but must be read in full compliance with ESS 9- Indigenous People and Cultural Heritage. • Planners and managers must incorporate conservation of biological diversity as fundamental in their planning, management, utilization and monitoring of planted forest resources. • In order to reduce the environmental risk, incidence and impact of abiotic and biotic damaging agents and to maintain and improve planted forest health and productivity, FAO will work together with stakeholders to develop and derive appropriate and efficient response options in planted forest management.

SAFEGUARD 4 ANIMAL (LIVESTOCK AND AQUATIC) GENETIC RESOURCES FOR FOOD AND AGRICULTURE

	Introduce new species/breeds and change in the production system of locally adapted breeds		**No**	**Yes**
4.1	Would this project introduce non-native or non-locally adapted species, breeds, genotypes or other genetic material to an area or production system?		**X**	
	4.1.1	Would this project foresee an increase in production by at least 30% (due to the introduction) relative to currently available locally adapted breeds and can monitor production performance?	**N/A**	
	4.1.2	Would this project introduce genetically altered organisms, e.g. through selective breeding, chromosome set manipulation, hybridization, genome editing or gene transfer and/or introduce or use experimental genetic technologies, e.g. genetic engineering and gene transfer, or the products of those technologies?	**N/A**	
4.2	Would this project introduce a non-native or non-locally adapted species or breed for the first time into a country or production system?		**No**	

4.3	Would this project introduce a non-native or non-locally adapted species or breed, independent whether it already exists in the country?	**X**	
4.4	Would this project ensure there is no spread of the introduced genetic material into other production systems (i.e. indiscriminate crossbreeding with locally adapted species/breeds)?	**N/A**	
	Collection of wild genetic resources for farming systems		
4.5	Would this project collect living material from the wild, e.g. for breeding, or juveniles and eggs for ongrowing?	**X**	

	Modification of habitats			
4.6	Could this project modify the surrounding habitat or production system used by existing genetic resources?		**X**	
4.7	Would this project be located in or near an internationally recognized conservation area e.g. Ramsar or World Heritage Site, or other nationally important habitat, e.g. national park or high nature value farmland?			**X** A brief environmental impact assessment is required. Contact the ESM unit for further guidance.
4.8	**AQGR**	Could this project block or create migration routes for aquatic species?	**X**	
4.9		Could this project change the water quality and quantity in the project area or areas connected to it?	**X**	
4.10	Could this project cause major habitat / production system changes that promote new or unknown chances for geneflow, e.g. connecting geographically distinct ecosystems or water bodies; or would it disrupt habitats or migration routes and the genetic structure of valuable or locally adapted species/stocks/breeds?		**X**	
4.11	Would this project involve the intensification of production systems that leads to land- use changes (e.g. deforestation), higher nutrient inputs leading to soil or water pollution, changes of water regimes (drainage, irrigation)?			**X** A brief environmental impact assessment is required. Contact the ESM unit for further guidance.

SAFEGUARD 5 PEST AND PESTICIDES MANAGEMENT

	Supply of pesticides by FAO	No	Yes
5.1	Would this project procure, supply and/or result in the use of pesticides on crops, livestock, aquaculture or forestry?		**X** 1. Preference must always be given to sustainable pest management approaches such as Integrated Pest Management (IPM), the use of ecological pest management approaches and the use of mechanical/cultural/physical or biological pest control tools in favour of synthetic chemicals; and preventive measures and monitoring, 2. When no viable alternative to the use of chemical pesticides exists, the selection and procurement of pesticides is subject to an internal clearance procedure http://www.fao.org/fileadmin/templates/agphome/documents/Pests_Pesticides/Code/E_SS5_pesticide_checklist.pdf 3. The criteria specified in FAO's ESM Guidelines under ESS5 must be adhered to and should be included or referenced in the project document. 4. If large volumes (above 1,000 litres of kg) of pesticides will be supplied or used throughout the duration of the project, a Pest Management Plan must be prepared to demonstrate how IPM will be promoted to reduce reliance on pesticides, and what measures will be taken to minimize risks of pesticide use. **5.** It must be clarified, which person(s) within (executing) involved institution/s, will be responsible and liable for the proper storage, transport, distribution and use of the products concerned in compliance with the requirements.
5.2	Would this project provide seeds or other materials treated with pesticides (in the field and/or in storage) ?	**X**	
5.3	Would this project provide inputs to farmers directly or through voucher schemes?		**X** 1. FAO projects must not be responsible for exposing people or the environment to risks from pesticides. The types and quantities of pesticides and the associated application and protective equipment that users of a voucher scheme are provided with must always comply with the conditions laid out in ESS5 and be subject to the internal clearance procedure [link]. These must be included or referenced in the project document. 2. Preference must always be given to sustainable pest management approaches such as Integrated Pest Management (IPM), the use of ecological pest management

			approaches and the use of mechanical or biological pest control tools in favour of synthetic chemicals
5.4	Could this project lead to increased use of pesticides through intensification or expansion of production?		**X** Encourage stakeholders to develop a Pest Management Plan to demonstrate how IPM will be promoted to reduce reliance on pesticides, and what measures will be taken to minimize risks of pesticide use. This should be part of the sustainability plan for the project to prevent or mitigate other adverse environmental and social impacts resulting from production intensification.
5.5	Would this project manage or dispose of waste pesticides, obsolete pesticides or pesticide contaminated waste materials?	**X**	

SAFEGUARD 6 INVOLUNTARY RESETTLEMENT AND DISPLACEMENT

		No	Yes
6.1	Would this removal* be voluntary? *temporary or permanent removal of people from their homes or means of production/livelihood or restrict their access to their means of livelihoods	**N/A**	

SAFEGUARD 7 DECENT WORK

		No	Yes
7.1	Could this project displace jobs? (e.g. because of sectoral restructuring or occupational shifts)	**X**	
7.2	Would this project operate in sectors or value chains that are dominated by subsistence producers and other vulnerable informal agricultural workers, and more generally characterized by high levels "working poverty"?		**X** Take action to anticipate the likely risk of perpetuating poverty and inequality in socially unsustainable agriculture and food systems. Decent work and productive employment should appear among the priorities of the project or, alternatively, the project should establish synergies with specific employment and social protection programmes e.g. favouring access to some social protection scheme or form of social insurance. Specific measures and mechanisms should be introduced to empower in particular the most vulnerable /disadvantaged categories of rural workers such as small-scale producers, contributing family workers, subsistence farmers, agricultural informal wage workers, with a special attention to women and youth who are predominantly found in these employment statuses. An age- and gender-sensitive social value chain analysis or livelihoods/employment assessment is needed for large-scale projects.
7.3	Would this project operate in situations where youth work mostly as unpaid contributing family workers, lack access to decent jobs and are increasingly abandoning agriculture and rural areas?	**X**	
7.4	Would this project operate in situations where major gender inequality in the labour market prevails? (e.g. where women tend to work predominantly as unpaid contributing family members or subsistence farmers, have lower skills and qualifications, lower productivity and wages, less representation and voice in producers' and workers' organizations, more precarious contracts and higher informality rates, etc.)		**X** Take action to anticipate likely risk of socially unsustainable agriculture and food systems by integrating specific measures to reduce gender inequalities and promote rural women's social and economic empowerment. A specific social value chain analysis or livelihoods/employment assessment is needed for large-scale projects. Facilitation should be provided for women of all ages to access productive resources (including land), credit, markets and marketing channels, education and TVET, technology, collective action or mentorship. Provisions for maternity protection, including child care facilities, should be foreseen to favour women participation and anticipate potential negative effects on child labour, increased workloads for women, and health related risks for pregnant and breastfeeding women.
7.5	Would this project operate in areas or value chains with presence of labour migrants or that could potentially attract labour migrants?	**X**	
7.6	Would this project directly employ workers?		**X**

			FAO projects will supposedly guarantee employees' rights as per UN/FAO standards as regards information on workers' rights, regularity of payments, etc. Decisions relating to the recruitment of project workers are supposed to follow standard UN practices and therefore not be made on the basis of personal characteristics unrelated to inherent job requirements. The employment of project workers will be based on the principle of equal opportunity and fair treatment, and there will be no discrimination with respect to any aspects of the employment relationship, such as recruitment and hiring, compensation (including wages and benefits), working conditions and terms of employment, access to training, job assignment, promotion, termination of employment or retirement, etc.
7.7	Would this project involve sub-contracting?		**X** Take action to anticipate likely risk of perpetuating inequality and labour rights violations by introducing complementary measures. FAO projects involving sub-contracting should promote, to the extent possible, subcontracting to local entrepreneurs – particularly to rural women and youth – to maximize employment creation under decent working conditions. Also, FAO should monitor and eventually support contractors to fulfil the standards of performance and quality, taking into account national and international social and labour standards.
7.8	Would this project operate in a sector, area or value chain where producers and other agricultural workers are typically exposed to significant occupational and safety risks[86]?		**X** Take action to anticipate likely OSH risks by introducing complementary provisions on OSH within the project. Project should ensure all workers' safety and health by adopting minimum OSH measures and contributing to improve capacities and mechanisms in place for OSH in informal agriculture and related occupations. For example, by undertaking a simple health and safety risk assessment, and supporting implementation of the identified risk control measures. Awareness raising and capacity development activities on the needed gender-responsive OSH measures should be included in project design to ensure workers' safety and health, including for informal workers. Complementary measures can include measures to reduce risks and protect workers, as well as children working or playing on the farm, such as alternatives to pesticides, improved handling and storage of pesticides, etc. Specific provisions for OSH for pregnant and breastfeeding women should be introduced. FAO will undertake periodic inspections and a multistakeholder mechanism for monitoring should be put in place.
7.9	Would this project provide or promote technologies or practices that pose occupational safety and health (OSH) risks for farmers, other rural workers or rural populations in general?	**X**	

[86] Major OSH risks in agriculture include: dangerous machinery and tools; hazardous chemicals; toxic or allergenic agents; carcinogenic substances or agents; parasitic diseases; transmissible animal diseases; confined spaces; ergonomic hazards; extreme temperatures; and contact with dangerous and poisonous animals, reptiles and insects.

7.10	Would this project foresee that children **below the nationally-defined minimum employment age** (usually 14 or 15 years old) will be involved in project-supported activities?	**X**	
7.11	Would this project foresee that **children above the nationally-defined minimum employment age** (usually 14 or 15 years old), but under the age of 18 will be involved in project-supported activities?	**X**	
7.12	Would this project operate in a value chain where there have been reports of child labour?	**X**	
7.13	Would this project operate in a value chain or sector where there have been reports of forced labour[87]?	**X**	

[87] Forced labour is employed, consists of any work or service not voluntarily performed that is exacted from an individual under threat of force or penalty. It includes men, women and children in situations of debt bondage, suffering slavery-like conditions or who have been trafficked. "In many countries, agricultural work is largely informal, and legal protection of workers is weak. In South Asia, there is still evidence of bonded labour in agriculture, resulting in labour arrangements where landless workers are trapped into exploitative and coercive working conditions in exchange for a loan. The low wages associated with high interest rates make it quite difficult for whole families to escape this vicious circle. In Africa, the traditional forms of "vestiges of slavery" are still prevalent in some countries, leading to situations where whole families (adults and children, men and women) are forced to work the fields of landowners in exchange for food and housing. In Latin America, the case of workers recruited in poor areas and sent to work on plantations or in logging camps has been widely documented by national inspection services and other actors." (ILO, Profits and poverty: the economics of forced labour / International Labour Office. - Geneva: ILO, 2014)

SAFEGUARD 8 GENDER EQUALITY

		No	Yes
8.1	Could this project risk reinforcing existing gender-based discrimination, by not taking into account the specific needs and priorities of women and girls?	**X**	
8.2	Could this project not target the different needs and priorities of women and men in terms of access to services, assets, resources, markets, and decent employment and decision-making?	**X**	

SAFEGUARD 9 INDIGENOUS PEOPLES AND CULTURAL HERITAGE

			No	Yes
9.1	Are there indigenous peoples[88] living outside the project area[89] where activities will take place?			**X**
	9.1.1	Do the project activities influence the Indigenous Peoples living outside the project area?	**X**	
9.2	Are there indigenous peoples living in the project area where activities will take place?			**X** A Free, Prior and Informed Consent Process will be undertaken.
9.3	Would this project adversely or seriously affect on indigenous peoples' rights, lands, natural resources, territories, livelihoods, knowledge, social fabric, traditions, governance systems, and culture or heritage (physical[90] and non-physical or intangible[91]) inside and/or outside the project area?		**X**	
9.4	Would this project be located in an area where cultural resources exist?			**X** To preserve cultural resources (when existing in the project area) and to avoid their destruction or damage, due diligence must be undertaken to:

[88] FAO considers the following criteria to identify indigenous peoples: priority in time with respect to occupation and use of a specific territory; the voluntary perpetuation of cultural distinctiveness (e.g. languages, laws and institutions); self-identification; an experience of subjugation, marginalization, dispossession, exclusion or discrimination (whether or not these conditions persist).

[89] The phrase "Outside the project area" should be read taking into consideration the likelihood of project activities to influence the livelihoods, land access and/or rights of Indigenous Peoples' irrespective of *physical* distance. In example: If an indigenous community is living 100 km away from a project area where fishing activities will affect the river yield which is also accessed by this community, then the user should answer "YES" to the question.

[90] Physical defined as movable or immovable objects, sites, structures, group of structures, natural features and landscapes that have archaeological, paleontological, historical, architectural, religious, aesthetic or other cultural significance located in urban or rural settings, ground, underground or underwater.

[91] Non-physical or intangible defined as "the practices, representations, expressions, knowledge and skills as well as the instruments, objects, artifacts and cultural spaces associated therewith that communities, groups, and in some cases individuals, recognize as part of their spiritual and/or cultural heritage"

			a)verify that provisions of the normative framework, which is usually under the oversight of a national institution responsible for protection of historical and archaeological sites/intangible cultural heritage; and b) through collaboration and communication with indigenous peoples' own governance institutions/leadership, verifying the probability of the existence of sites/ intangible cultural heritage that are significant to indigenous peoples. In cases where there is a high chance of encountering physical cultural resources, the bidding documents and contract for any civil works must refer to the need to include recovery of "chance findings" in line with national procedures and rules.

ANNEX 11: PROJECT MITIGATION BENEFITS EXACT - METHODOLOGICAL BASIS OF CARBON BENEFITS QUANTIFICATION

The project will implement the following agriculture, forest and pastureland management interventions in two Chiefdoms (Ngweshe and Kabaré) that are considered to generate carbon sequestration benefits. The narrative of these regimes and intervention scenarios are as follows:

1) **Forest protection, restoration and reforestation:** During the initial implementation phase, the project will update the Chiefdom Development Plans (CDPs) which will layout the options for forest and landscape restoration. Based on the Plans, the project interventions targeting the forests aim to cover 3,500 ha:
    a. 500 ha of tropical rain forest replantation at high altitude and steep slopes
    b. 1,500 ha of tropical rain forest restoration and protection through assisted natural regeneration and guarding of specific areas
    c. Thanks to the work on the buffer zones of the Kahuzi-Biega National Park it is estimated that the project will have a direct impact to improve the forest conservation status on 1,500 ha on the border of the National Park
2) **Sustainable agricultural and forest management practices:** Based on the Plans, the project will promote climate-smart agriculture practices and enhance the agro-forestry in 1,000 ha through combination of interventions including: (i) use of organic fertilisers, compost, manure and green waste; and (ii) implement techniques such as no tillage, mulching, use of catch crops, crop rotation and companion planting.
    a. 60 ha of agriculture land will be improved by the climate-smart agriculture practices
    b. 440 ha of agro-forestry practices will be promoted
    c. 500 ha of agriculture land will have improved soil productivity through *inter alia* terraces and living fences
3) **Improved pastureland management:** The project will promote the management of 300 ha of degraded pastureland in order to reduce land degradation and sequester GHG emissions. The primary activity will be through awareness raising and training on sustainable management of fodder trees, shrubs and adapted agrostology species.

The carbon benefits from the project are estimated in terms of lifetime direct as well as consequential GHG emissions avoided over the default time horizon of 20 years under the IPCC guideline and the guidance of the GEF Tracking Tools. For this project, the durations of implementation phase and the capitalization phase are defined as 5 years and 15 years, respectively. The carbon benefits are calculated using EX-Ante Carbon Balance Tool (EX-ACT).

Direct lifetime GHG emission avoided

In the GEF Tracking Tool for Climate Change Mitigation projects, direct lifetime GHG emissions avoided are the emissions reductions attributable to the investments made during the project's supervised implementation period, totalled over the respective lifetime of the investments.

The direct lifetime GHG emission mitigation potential from the project is estimated as **1,064,457tCO$_2$eq**, in the considered biome and time frame.

Project Name	TRI: Improved managemer	Climate	Tropical (Moist)				Duration of the Project (Years)		20	
Continent	Africa	Dominant Regional Soil Type	LAC Soils				Total area (ha)		4800	
Components of the project	Gross fluxes Without	With	Balance	Share per GHG of the Balance All GHG in tCO2eq CO_2 Biomass	Soil	Other	N_2O	CH_4	Result per year Without	With	Balance
	All GHG in tCO2eq Positive = source / negative = sink										
Land use changes											
Deforestation	0	0	0	0	0		0	0	0	0	0
Afforestation	0	-217,681	-217,681	-204,110	-13,571		0	0	0	-10,884	-10,884
Other LUC	0	-8,071	-8,071	3,872	-11,943		0	0	0	-404	-404
Agriculture											
Annual	2,092	-12,255	-14,347	0	-12,905		-44	-1,398	105	-613	-717
Perennial	0	-76,699	-76,699	-71,309	-5,390		0	0	0	-3,835	-3,835
Rice	0	0	0	0	0		0	0	0	0	0
Grassland & Livestocks											
Grassland	0	-9,048	-9,048	0	-9,048		0	0	0	-452	-452
Livestocks	0	0	0				0	0	0	0	0
Degradation & Management	246,204	-492,407	-738,611	-670,755	-67,856		0	0	12,310	-24,620	-36,931
Coastal wetlands	0	0	0	0	0		0	0	0	0	0
Inputs & Investments	0	0	0			0	0	0	0	0	0
Fishery & Aquaculture	0	0	0			0	0	0	0	0	0
Total	248,296	-816,161	**-1,064,457**	-942,302	-120,712	0	-44	-1,398	12,415	-40,808	-53,223
Per hectare	52	-170	-222	-196.3	-25.1	0.0	0.0	-0.3			
Per hectare per year	2.6	-8.5	-11.1	-9.8	-1.3	0.0	0.0	0.0	2.6	-8.5	-11.1

Consequential (indirect) lifetime GHG emission avoided

According to the Guidelines for Greenhouse Gas Emissions Accounting and Reporting for GEF Projects (GEF/C.48/Inf.09, 7 May 2015), indirect emissions reductions have been re-defined as “consequential emissions”. Consequential GHG emission reductions are those projected emissions that could result from a broader adoption of the outcomes of a GEF project plus longer-term emission reductions from behavioural changes. Broader adoption of a GEF project proceeds through several processes including sustaining, mainstreaming, replication, scaling-up and market change.

Based on the initial consultations and assessments, the consequential potential is to improve the management/protection of the Kahuzi-Biega National Park through work in the buffer zones. The assumption is made that through the project 30,000 ha will benefit from improved protection/management. Out of these we estimate that 15,000 ha are in the in the more external part of the Park and therefore Moderately degraded and 15,000 ha are in the centre of the Park and therefore having a low percentage of degradation.

The consequential GHG emission mitigation potential from the project is estimated as **7,327,947tCO$_2$eq** in the considered biome and time frame. It has been estimated that the indirect benefits can only be considered starting at the end of Year 3 of the project.

Project Name	TRI: Improved managemer	Climate	Tropical (Moist)				Duration of the Project (Years)	17		
Continent	Africa	Dominant Regional Soil Type	LAC Soils				Total area (ha)	30000		
Components of the project	**Gross fluxes** Without	With	Balance	**Share per GHG of the Balance** All GHG in tCO2eq CO_2			N_2O	CH_4	**Result per year** Without	With	Balance
	All GHG in tCO2eq			Biomass	Soil	Other					
	Positive = source / negative = sink										
Land use changes											
Deforestation	0	0	0	0	0		0	0	0	0	0
Afforestation	0	0	0	0	0		0	0	0	0	0
Other LUC	0	0	0	0	0		0	0	0	0	0
Agriculture											
Annual	0	0	0	0	0		0	0	0	0	0
Perennial	0	0	0	0	0		0	0	0	0	0
Rice	0	0	0	0	0		0	0	0	0	0
Grassland & Livestocks											
Grassland	0	0	0	0	0		0	0	0	0	0
Livestocks	0	0	0				0	0	0	0	0
Degradation & Management	4,885,298	-2,442,649	-7,327,947	-6,707,547	-620,400		0	0	287,370	-143,685	-431,056
Coastal wetlands	0	0	0	0	0		0	0	0	0	0
Inputs & Investments	0	0	0			0	0	0	0	0	0
Fishery & Aquaculture	0	0	0			0	0	0	0	0	0
Total	4,885,298	-2,442,649	**-7,327,947**	-6,707,547	-620,400	0	0	0	287,370	-143,685	-431,056
Per hectare	163	-81	-244	-223.6	-20.7	0.0	0.0	0.0			
Per hectare per year	9.6	-4.8	-14.4	-13.2	-1.2	0.0	0.0	0.0	9.6	-4.8	-14.4

ANNEX 12 LINKAGES BETWEEN THIS TRI CHILD PROJECTS AND THE TRI PROGRAM

The project is one of 12 child projects of The Restoration Initiative (TRI), a GEF-supported program to contribute to the restoration and maintenance of critical landscapes to provide global environmental benefits and enhanced resilient economic development and livelihoods, in support of the Bonn Challenge. TRI is designed and led by three GEF Agencies – IUCN (lead agency), FAO and UN Environment – in partnership with TRI countries."

The TRI program is comprised of 11 national child projects in 10 Asian and African countries, and is supported by a Global Learning, Finance, and Partnerships project (Global Child). The Global Child project will be responsible for facilitating overall coordination, monitoring, and adaptive management of the TRI Program, while at the same time providing key support along each of the four program components."

The design of the "The Restoration Initiative, DRC child project: Improved management and restoration of agro-sylvo-pastoral resources in the pilot province of South-Kivu" includes mechanisms to ensure cross-fertilization between the Project, other TRI child projects, and the overall TRI program. Mechanisms include:

- Participation in annual TRI knowledge sharing workshops;
- Exchange and study visits with other TRI countries;
- Project anticipates receiving and integrating support from the Global Child project. This includes benefiting from provision of:
    - international experts and trainings on FLR- and TRI-relevant topics;
    - establishment and participation in TRI Community of Practice groups (via online and other groups) facilitated by the Global Child project;
    - support for identification and integration of policies that are supportive of FLR, including through partnership with the Global Child project in developing and utilizing relevant and high-value case studies and policy briefs;
    - support for mobilization of FLR finance, including help in developing bankable FLR investment proposals;
    - enrollment of Project stakeholders in a TRI course on FLR Finance to be developed by the Global Child project in partnership with Yale University, and made available beginning in 2018;
- The Project will develop knowledge products on in-country FLR practices, experiences, and achievements, for sharing with other TRI child projects, including through annual TRI knowledge sharing workshops;
- Project team member(s) will take part in regular calls with the TRI Program Coordinator, to allow all NCPs and Global Child team members to hear first-hand from all projects on relevant updates and emerging opportunities. Those opportunities include linkages between the Global Child and NCPs. They may also include linkages between Child projects themselves and/or linkages between Child projects and relevant external initiatives;
- The Project will be responsive to any guidance received from the TRI Program Advisory Committee and the TRI Global Coordination Unit of the Global Child (see TRI Program institutional structure below);
- The Project will make use of Global Child provided standardized means (including standardized templates, and processes) for capturing and documenting lessons learned;
- The Project will make use of the Harmonized TRI Tracking Tool for reporting to the GEF, to facilitate comparability and utility of aggregated M&E data;"

TRI Program Institutional Structure and Linkages

The TRI Program will be strengthened by the establishment and operation of a TRI Program Advisory Committee (PAC), supported by the TRI Global Child. The PAC will be comprised of representatives from the three TRI Partner Agencies, the GEF, as well as representatives from some or all of the TRI countries (TBD), and relevant external experts. The PAC will provide oversight and recommendations over the course of TRI implementation, to capitalize on emerging opportunities, facilitate linkages to existing and relevant restoration initiatives, and provide recommendations to address any implementation bottlenecks as they arise.

Recommendations provided by the PAC are of an advisory nature only – TRI child projects are not bound to follow the advice of the PAC. However, experience has demonstrated the value that an advisory body, with substantial expertise and experience and a unique vantage point and perspective, can bring to a program. It is therefore anticipated that TRI Child projects will incorporate recommendations of the PAC into their work plans and operations.

Specific functions of the PAC shall include:

- Provide overall strategic policy and management direction to the Program and Child projects;
- Review progress of previously agreed Program work plans;
- Review key milestones and points for review;
- Discuss process forward, and any proposed changes to plans and main activities;
- Facilitate linkages between the TRI Program and other relevant FLR initiatives where appropriate;
- Provide technical and substantive input to the TRI Annual Knowledge Sharing workshop where appropriate;"

The TRI Program will also be strengthened by the establishment and operation of a TRI Global Coordination Unit (GCU), housed within the Global Child project. Specific functions of the GCU shall include:

- Lead the focus on optimizing integration and capture of synergies among child projects;
- Develop and implement a TRI Monitoring and Evaluation (M&E) System for the TRI Program with effective linkages to all 12 child projects, based on the TRI Theory of Change, the results matrices in the project documents of all 12 TRI child projects, the TRI M&E Framework, as well as additional monitoring elements that may be required to achieve value for money assessments and other desired assessments, to ensure the systematic monitoring of the implementation of the TRI Program;
- Develop and implement a TRI Global Communications and Outreach Strategy supporting achievement of TRI communications objectives;
- Develop and implement a TRI Partnership Strategy supporting effective engagement and partnership with external programs, projects, institutions, and potential donors/investors, that help foster achievement of TRI objectives, both at the Program- and child project-levels, and participation in appropriate external fora on behalf of the TRI Program;

- Organize and participate in monthly working group meetings with TRI child project managers, to hear first-hand from all projects on relevant updates and emerging opportunities.;
- Organize and participate in biannual meetings of the Program Advisory Committee;
- Provision of secretarial services to the Program Advisory Committee;
- Preparation of biannual Program Progress Reports for the Program Advisory Committee;
- Coordinate adequate response to all specific issues and concerns raised by the Program Advisory Committee;"

"Figure 1 shows the institutional structure and reporting linkages between TRI program constituents. Additional reporting by Child projects to the GCU is not anticipated but opportunities will be offered by the GCU to the countries to participate in studies on TRI Program efficacy, such as Value for Money studies during the final years of TRI implementation."

Figure 1. TRI Program institutional structure.

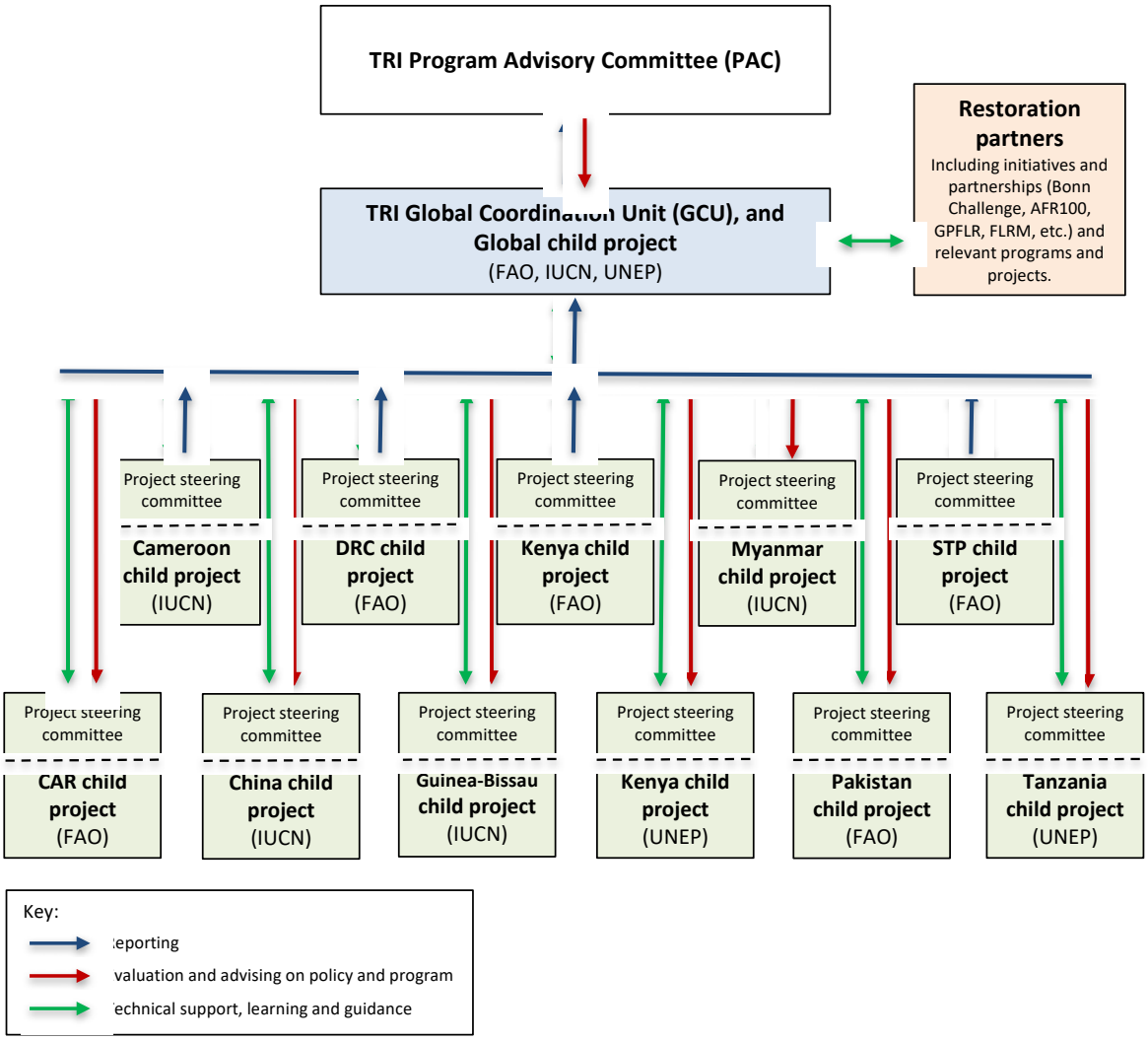

Table Detailing Alignment of Child Project with TRI Program

Table 1. Child Project Alignment with TRI Program

Criteria	Child project design features aligned with criteria
Project interventions are designed/informed by forest landscape restoration best practices and are in line with support for the Bonn Challenge	Yes, all the project interventions are aligned the FLRM best practices to support the Bonn Challenge
Project strategy employs TRI strategic approach, and includes work under each of the four TRI Programmatic components	Yes, this projects strictly follows the PFD frameworks under each of the 4 components
Project anticipates making use of supports from TRI Global Learning, Finance, and Partnership project (the Global Child project)	Yes, as described in the ProDoc, the projects is planning to make use of the technical assistance offered by the GCP and will participate to the different forms of knowledge gathering and dissemination offered.
Project anticipates making contributions to the capture and dissemination of knowledge, for the benefit of all TRI child projects	Yes, as described in the ProDoc, the project will actively capture knowledge to disseminate it in country and more broadly.
Project design recognizes institutional linkages with the Global Child project, including with TRI Program Advisory Committee, for adaptive management.	Yes
Project includes a planned activity and dedicated funding for participation in Annual TRI Knowledge-Sharing workshops	Yes
Project funding and anticipated global environmental benefits are in-line with estimates made at the time of PFD submission/approval	The total and component repartition budget is in-line with estimates made at the time of the PFD but the GEBs had to be reconsidered during the field mission. Indeed, several factors had to be considered for the choice of the chiefdoms (and the size of the restoration zone) such as where restoration was the most pressing and the level of engagement of local authorities. In the areas selected, where it made the most sense for the project to work, to be effective the investments need good planning and aren't the cheapest as they involve substantial work such as terracing. The new numbers are lower than what was originally planned and are now much more aligned with the GEBs proposed by the other TRI projects.
Other (including any additional support for partnership and knowledge sharing activities with TRI partners)	This project has been developed as being part of a program both benefitting and contributing to it. Several of its features have been developed having this idea in mind.

ANNEX 13: REQUEST BY GOVERNMENT PARTNER TO FAO TO DELIVER DIRECT SUPPORT SERVICES AND FAO SEGREGATION OF IMPLEMENTATION AND EXECUTION FUNCTIONS

REPUBLIQUE DEMOCRATIQUE DU CONGO
MINISTERE DE L'ENVIRONNEMENT
ET DEVELOPPEMENT DURABLE

SECRETARIAT GENERAL A L'ENVIRONNEMENT
ET DEVELOPPEMENT DURABLE
Le Secrétaire Général

Kinshasa, le 18 JAN 2018

N°0063 /SG/EDD/BTB/BBK/2018

Transmis copie pour information à :

- Son Excellence Monsieur le Ministre l'Environnement et Développement Durable ; (Tous) à Kinshasa/Gombe

Concerne : Appui à l'Exécution du projet

A Monsieur le Représentant Pays de la FAO en République Démocratique du Congo à Kinshasa/Gombe

Monsieur le Représentant Pays,

Le Secrétariat général à l'Environnement et Développement Durable demande que la FAO fournisse des services d'Appui à l'exécution du Projet Pilote intitulé « Projet pilote de restauration et de gestion - durable des Ecosystèmes agricoles montagneux du Sud-Kivu (RGEM) en RDC », y compris, l'appui administratif nécessaire pour la gestion financière du projet conformément aux règles et procédures de la FAO.

Veuillez agréer, **Monsieur le Représentant Pays**, l'expression de mes sentiments patriotiques.

REPRESENTATION DE LA FAO EN RDC
DATE: 18.01.2018

	ACTION	INFO
FAO REP.		
FAO REPDU		
PROGR.	✓	
ADMIN.		
OPS		
ULA		
PROJETS	✓	

Benjamin TOIRAMBE BAMONINGA
Secrétaire Général a.i

Avenue Papa Ileo (ex-des cliniques) n° 15 Kinshasa/Gombe
B.P. 12 348 Kinshasa I site web : w.w.w.mecnt.cd

As GEF Agency, FAO is involved in the project identification, preparation of project concept, appraisal, preparation of detailed project documents, project approval and start-up, project supervision, and project completion and evaluation, as detailed in Council document GEF/C.39/9.

FAO may be requested by national partner institutes to deliver direct support services to the project, calling upon FAO's operational and administrative capacity that is otherwise not readily available and/or does not in full meet the fiduciary standards for Operational Partner Agreements with FAO. These direct support services, which can include procurement and contractual services, form part of the management and administration of the day-to-day activities of the project (from GEF/C.39/9). These services are additional to the services provided by FAO as GEF Agency (implementation). The following provisions are made to deliver project support by FAO:

Within FAO, a multidisciplinary Project Task Force (PTF) will be established by the FAO Budget Holder which is mandated to ensure that the project is implemented in a coherent and consistent manner and complies with the organization's goals and policies, as well as with the provision of adequate levels of technical, operational and administrative support throughout the project cycle. The PTF comprises of the Budget Holder (Head of the PTF), Lead Technical Officer and the GEF/CBC Coordination Unit.

The FAO Representative in the Democratic Republic of Congo will be the Budget Holder (BH) of this project. The BH, working in close consultation with the Lead Technical Officer (LTO) and GEF/CBC Unit, will be accountable for the timely operational, administrative and financial delivery of the project. The multidisciplinary Project Management Unit established to support the implementation of the project, will send financial and progress reports to the BH on a regular basis. The BH will be responsible for financial reporting, and if required procurement of goods and contracting of services for project activities in accordance with FAO rules and procedures. Final approval of the use of GEF resources rests with the BH, also in accordance with FAO rules and procedures.

Specifically, working in close collaboration with the LTO, the BH will: (i) clear and monitor annual work plans and budgets; (ii) schedule technical backstopping and monitoring missions; (iii) authorize the disbursement of the project's GEF resources; (iv) give final approval of procurement, project staff recruitment, operational agreements, and financial transactions in accordance with FAO's clearance/approval procedures; (v) review procurement and subcontracting material and documentation of processes and obtain internal approvals; (vi) be responsible for the management of project resources and all aspects in the agreements between FAO and the various operational partners; (vii) provide operational oversight of activities to be carried out by operational partners; (viii) monitor all areas of work and suggest corrective measures as required; (ix) submit to the GEF Coordination Unit, the TCID Budget Group semi-annual budget revisions that have been prepared in close consultation with the LTO (due in August and February); (x) be accountable for safeguarding resources from inappropriate use, loss, or damage; (xi) be responsible for addressing recommendations from oversight offices,

such as Audit and Evaluation; and (xii) establish a multi-disciplinary FAO Project Task Force to support the project.

FAO Lead Technical Officer (LTO): A senior Forestry Officer from HQ will be the LTO for this project. The LTO will provide technical guidance to the project team to ensure delivery of quality technical outputs. The primary areas of LTO support to the project include: (i) review and ensure clearance by the relevant FAO technical officers of all the technical Terms of Reference (ToR) of the project team and consultants; (ii) ensure clearance by the relevant FAO technical officers of the technical terms of reference of the operational agreements and contracts; (iii) review and ensure clearance by the relevant FAO technical officers of all the technical Terms of Reference (ToR) of Mid Term Review (MTR) report and Final Evaluation Report (FER); (vi) in close consultation with GEF/CBC Unit, BH and operational partners, lead the selection of the project staff, consultants and other institutions to be contracted or with whom an operational agreements will be signed; (v) review and clear technical reports, publications, papers, training material, manuals, etc.; (vi) monitor technical implementation as established in the project results framework (conducting annual monitoring missions to the field); (vii) review the Project Progress Reports (PPRs) and prepare the annual Project Implementation Review (PIR).

GEF/CBC Coordination Unit will review and approve project progress reports, annual project implementation reviews, financial reports and budget revisions. The GEF Coordination Unit will provide project oversight, organize annual supervision missions, and participate as a member in the FAO Project Task Force and as an observer in the project steering committee meetings, as necessary. The Unit will participate in the selection process of key consultants to be recruited by the project, including the Project Manager. The GEF Coordination Unit will also assist in the organization of, as well as be a key stakeholder in, the mid-term review and final evaluation. It will contribute to the development of corrective actions in the project implementation strategy in the case needed to mitigate eventual risks affecting the timely and effective implementation of the project. The GEF Coordination Unit will in collaboration with the FAO Finance Division, request the transfer of project funds from the GEF Trustee based on six-monthly projections of funds needed.

The Investment Centre Division Budget Group (TCID) will provide final clearance of any budget revisions.

The FAO Finance Division will provide annual Financial Reports to the GEF Trustee and, in collaboration with the GEF Coordination Unit and the TCID Budget Group, call for project funds on a six-monthly basis from the GEF Trustee.

ANNEX 14: UN-OFFICIAL TRANSLATION OF CO-FINANCING LETTERS

1. BGF/GIZ Co-financing Letter

Copied to:

Ms Maude Veyret-Picot

M Michel Disonoma

The Representative of FAO in Kinshasa

To M Jeffrey Griffin

Senior Coordinator, GEF Unit

Investment Center Division Technical Cooperation Department

Food and Agriculture Organization of the United Nations (FAO)

Viale delle Terme di Caracalla, 00153 Rome, Italy

Subject : Cooperation between the BGF/GIZ and the pilot project 'Restoration and Sustainable Management of Ecosystems in South Kivu under the Restoration Initiative (TRI)'

Dear Sir,

The German Ministry of International Cooperation (BMZ) has delegated the execution of the German contribution in support of the forestry sector to GIZ through the *Biodiversity conservation and Sustainable Management of Forests Programme* (BGF) with implementation period 1 September 2017 through to 31 August 2019.

This BGF/GIZ programme aims at the sustainable management of natural resources and biodiversity conservation within protected areas and its buffer zones, offering benefits to local populations in the buffer zones and to local farmers and foresters. It intervenes in South-Kivu and in Maniema. Particularly in South-Kivu, the programme aims at:

- Supporting the updating of local development plans for the buffer zones of the Kahuzi-Biega national park with respect to community activities (forests, reforestation and conservation);
- Community reforestation benefitting the local populations, managed jointly by communities and associations and financed by agroforestry activities in larger buffer zones of the Kahuzi-Biega national park;

- Producing thematic maps on forest cover based on satellite data for the Ngweshe and Kabare chiefdoms;
- Harmonising provincial and national forest-related texts;
- Supporting the formulation of policies, strategies and programmes at the national and provincial levels in the environment sector.

The BGF programme has a budget of approximately 24 000 000 Euro, of which 33% is allocated to activities in South-Kivu. With this support, the BGF programme steers in the same direction as your project entitled *Restoration and Sustainable Management of Ecosystems in South Kivu under the Restoration Initiative (TRI) - RGEM,* financed by the GEF.

As the two initiatives are very similar, we confirm our engagement to collaborate with the RGEM, exchanging information on a continuous basis and this with a view to identify opportunities for synergies and complementarity between our respective projects in the context of forest and landscape restauration at the local level and this during the whole life of the BGF programme.

Sincerely,

Carola Jacobi-Sambou, Resident Director, GIZ Office in DRC

Olivier Kogler, ChiefTechnical Advisor, Responsible for the BGF programme

2. Louvain Coopération Co-financing Letter

Louvain-la-Neuve, 31 August 2017

To: Jeffrey Griffin

Senior Coordinator, GEF Unit

Investment Center Division Technical Cooperation Department

Food and Agriculture Organization of the United Nations (FAO)

Viale delle Terme di Caracalla, 00153 Rome, Italy

Subject : Co-financing of the project FAO-GCP/DRC/253/GFF entitled '*Restoration and Sustainable Management of Ecosystems in South Kivu under the Restoration Initiative (TRI)*'

As Director of programmes, I, Felix Vanderstricht, confirm with the following letter our engagement to co-finance the above mentioned FAO project, following the consultations we had during its preparation phase and validation of the project document.

Indeed, the present project carried by Louvain Coopération aims at 'favouring a more efficient and sustainable use of the tremendous potential DRC has to offer in terms of forestry, agriculture and livestock, with special attention to family farming'.

The specific objective of the programme reads as follows: Small holders and vulnerable groups have increased food availability and can sustainably improve their economic situation.

After having grouped its beneficiaries in Solidarity Groupings 'Mutuelle de Solidarité' over the past 9 years, the 4-year programme carried by Louvain Coopération, aims at reinforcing the capacities of the beneficiaries and partners through actions that improve their agricultural production using environment-friendly techniques, and improving revenues via the professionalization of micro-enterprises in the agriculture sector (production, transformation, storing/packaging, commercialization, etc).

This specific objective will structure and strengthen producer organisations, aligned with locally adapted agriculture and rural development, making family farming a vehicle to sustainable rural development.

The amount allocated by Louvain Coopération to this end is 526 665 Euro for the period 2017-2021. The synergies between these actions and the GCP/DRC/053/GFF project from FAO are mentioned in the table below.

Project	**Source of financing**	**Component of Louvain Coop. (LC) project**	**Amount (Euro)**	**Component GCP/DRC/053/GFF project**	**Amount (USD)**
Sustainable improvement of food security and incomes of vulnerable households in South-Kivu in the DRC. 2017-2021	General Directorate Development Cooperation and Humanitarian Aid (DGD Belgium)	Capacity development and alphabetization	158 738	Component 1	400 000
		Family farming	181 452		
		Agriculture entrepreneurship	134 330	Component 3	400 000
		Environment protection	20 700	Component 2	2 400 000
		Research-action and capitalization	31 445	Component 4	600 000
		Total co-financing LC	**526 665**	**Total co-financing FAO-GEF**	**3 800 000**
% of the budget of LC: USD 621 464 (1EURO=1.18$)			16,35%		

Looking forward to our collaboration.

Signature.

3. MEDD Co-financing Letter

Bukavu, 30 August 2017

Subject: Project FAO-GCP/DRC/053/GFF Transmission of Co-financing Letter

To Jeffrey Griffin

Senior Coordinator, GEF Unit

Investment Center Division Technical Cooperation Department

Food and Agriculture Organization of the United Nations (FAO)

Viale delle Terme di Caracalla, 00153 Rome, Italy

Dear Senior Coordinator,

The Provincial Government of South-Kivu, through its Ministry of Environment and Sustainable Development, for which I assume responsibility, hereby engages as co-financing to the FAO project mentioned above.

Indeed, South-Kivu generally and in particular its Eastern mountain area, is subject to land and landscape degradation, caused by its relief, improper agricultural practices, excessive deforestation for wood fuel and construction.

To mitigate the negative effects of degradation, the Provincial Government invests in restauration and vegetation cover valuing, promoting sustainable practices that keep agro-ecosystems in place.

Having appreciated the content and importance of the FAO-GEF project to the achievement of provincial government priorities in this sector, we allocate USD 1 900 000 in co-financing of the province's budgets, as detailed in the annexed table.

This co-financing letter hopes to support all efforts towards a reference model for forest and landscape restauration, adapted to the specificities of the mountain area of South-Kivu.

Sincere,

Apollinaire Buindi, Provincial Minister

Table detailing the MEDD co-financing from the Provincial Government of South-Kivu

Nr	Components	Geography	Actions carried out	Amount (USD)
1	Community Agro-Forestry: making state owned land available to communities for value adding	Businga/Walungu	Cost of 30 agents of the Provincial Coordination of the MEDD (CPEDD) in the 5 peripheral villages of the Businga/Walungu.	7 145
			Making 118Ha of land available to communities for agroforestry	118 000
			Cost of technical personnel	22 015
			M&E costs of the CPEDD personnel on the ground	12 000
		Kamanyola/Walungu	Set up of community nurseries and production of seedlings of agroforestry varieties	15 000
			Cost of technicians	36 740
2	Community reforestation with co-management contracts between the State and the communities	Businga/Walungu	Making 501Ha of land available to communities for community reforestation	501 000
			Cost of CPEDD agents and agents from the MEDD, assigned to sites in Businga for M&E	152 075
3	Community agroforestry (Contract for the use by the community of wetlands)	Cisheke/Walungu	Cost of 7 CPEDD agents for the set up of community nurseries in sites in Cisheke	10 854
			Making 245 ha of land available to communities for agroforestry	245 000
			Making 581 ha of land available to communities for community reforestation	581 000
	Community reforestation with co-management contracts between the State and the communities	Cisheke/Walungu	Cost of 12 agents and 3 MEDD agents assigned to the sites for M&E	168 171
4	Gardens	Cisheke/Walungu	Making 5 ha of wetland available to communities by the State	25 000
			Tax exemption on the exploitation of the wetlands made available to communities by the State	6 000
5	Running cost of Bukavu, Walungu and Kabare offices	Walungu and Kabare	Offices and related running costs (cost of offices and equipment made available by the State)	30 000
General total				**1 930 000**