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READINESS PREPARATION PROPOSAL ASSESSMENT NOTE

ON A

PROPOSED GRANT

IN THE AMOUNT US\$3.8 MILLION

TO THE

REPUBLIC OF COTE D'IVOIRE

FOR

REDD+ READINESS PREPARATION SUPPORT

FROM THE FOREST CARBON PARTNERSHIP FACILITY

**DRAFT** July 21, 2014

|   |                   |
|---|-------------------|
| Vice President:   | Makhtar Diop      |
| Country Director:                                       | Ousmane Diagana   |
| Practice Manager:                                       | Benoît Bosquet    |
| Environment and Natural Resources Management Director : | Paula Caballero   |
| Task Team Leader:                                       | Laurent Valiergue |

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## DATA SHEET

### REPUBLIC OF COTE D'IVOIRE REDD+ READINESS PREPARATION SUPPORT

#### READINESS PREPARATION PROPOSAL (R-PP) ASSESSMENT NOTE

Environment and Natural Resources Management

| Basic Information   |                                  |                                     |   |   |          |
|---|----------------------------------|-------------------------------------|---|---|----------|
| Date:   | June 30, 2014                    | Sectors:                            | Forestry (50%)<br>Public Administration – Agriculture, Fishing and Forestry (50%)                         |   |          |
| Country Director:   | Ousmane Diagana                  | Themes:                             | Climate Change (50%)<br>Land Administration and Management (25%)<br>Rural Policies and Institutions (25%) |   |          |
| Practice Manager/Director:  | Benoît Bosquet / Paula Caballero | EA Category:                        | B   |   |          |
| Project ID:   | P149801                          |                                     |   |   |          |
| Lending Instrument:   | TF Grant                         | TF015355                            |   |   |          |
| Team Leader(s):   | Laurent Valiergue                |                                     |   |   |          |
| Date of country selection into FCPF: December 12-15, 2013 - Geneva, Switzerland - Resolution PC/16/2013/4 |                                  |                                     |   |   |          |
| Date of Participation Agreement signed by Country: 28 January 2014  |                                  |                                     |   |   |          |
| Date of Participation Agreement signed by Bank: 23 January 2014   |                                  |                                     |   |   |          |
| Date of R-PP Formulation Grant Agreement signature: N/A   |                                  |                                     |   |   |          |
| Expected date of Readiness Preparation Grant Agreement signature: September 30, 2014                      |                                  |                                     |   |   |          |
| Joint IFC: N/A  |                                  |                                     |   |   |          |
| Project Implementation Period:  | Start Date:                      | Oct. 01, 2014                       | End Date:   | Sept. 30, 2017                            |          |
| Project Financing Data  |                                  |                                     |   |   |          |
| <input type="checkbox"/>  | Loan                             | <input checked="" type="checkbox"/> | Grant   | <input type="checkbox"/>                  | Other    |
| <input type="checkbox"/>  | Credit                           | <input type="checkbox"/>            | Guarantee   |   |          |
| <b>For Loans/Credits/Others (US\$M):</b>  |                                  |                                     |   |   |          |
| Total Project Cost :  | US\$3.8M                         |                                     | Total Bank Financing :  | US\$3.8M                                  |          |
| Total Cofinancing : N/A   |                                  |                                     | Financing Gap : N/A   |   |          |
| Financing Source  |                                  |                                     |   | Amount                                    |          |
| BORROWER/RECIPIENT  |                                  |                                     |   |   |          |
| IBRD  |                                  |                                     |   |   |          |
| IDA: New  |                                  |                                     |   |   |          |
| IDA: Recommitted  |                                  |                                     |   |   |          |
| Others  |                                  |                                     |   | Forest Carbon Partnership Facility (FCPF) | US\$3.8M |
| Financing Gap   |                                  |                                     |   |   |          |
| Total   |                                  |                                     |   | <b>US\$ 3.8 Million</b>                   |          |

|   |                                    |        |   |
|---|------------------------------------|--------|---|
| Regional FCPF Trust Fund Number:  |                                    |        |   |
| FCPF Country Child Trust Fund Number:   |                                    |        |   |
| Recipient: Republic of Côte d'Ivoire  |                                    |        |   |
| Responsible Agency: Ministry for the Environment, Urban Sanitation and Sustainable Development (MINESUDD) |                                    |        |   |
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### Clearances to the Readiness Preparation Proposal Assessment Note

|                                  |   |
|----------------------------------|---|
| Practice Manager:                | Benoît Bosquet , <b>Date</b>  |
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| Financial Management Specialist: | Jean Charles Amon Kra, 11 July 2014   |

## **PURPOSE OF THE READINESS PREPARATION PROPOSAL ASSESSMENT NOTE**

As part of its responsibilities for the FCPF, the World Bank has been asked to ensure that the FCPF's activities comply with the relevant World Bank Operational Policies and Procedures, in particular the Safeguard Policies, and the policies on Procurement and Financial Management.

The World Bank has also been asked to assist REDD+ Country Participants to formulate and implement their Readiness Preparation Proposals (R-PPs).

The purpose of this Readiness Preparation Proposal Assessment Note (R-PP Assessment Note), therefore, is for the Bank to assess if and how the proposed REDD+ Readiness Support Activity, as presented in the R-PP, complies with Safeguard Policies, and the Bank's policies on Procurement and Financial Management, discuss the technical quality of the R-PP, record the assistance it has provided to the REDD+ Country Participant in the formulation of its R-PP, and describe the assistance it might potentially provide to the REDD+ Country Participant in the implementation of its R-PP.

## ACRONYMS

|           |  |
|-----------|--|
| AFD       | : Agence Française de Développement (French Development Agency)  |
| BNETD     | : Bureau National d'Etudes Techniques et de Développement (National Bureau of Technical and Development Studies)   |
| C2D       | : Contrat de désendettement et de développement (AFD Debt Reduction and Development Contract)  |
| CSO       | : Civil Society Organization   |
| CPIA      | : Country Policy and Institutional Assessment  |
| DFPE      | : Domaine Forestier Permanent de l'Etat (Permanent State Forest Estate)  |
| DFRE      | : Domaine Forestier Rural de l'Etat (State Rural Forest Estate)  |
| EFI       | : European Forest Institute  |
| ESMF      | : Environmental and Social Management Framework  |
| EU REDD   | : European Union REDD Facility   |
| FAO       | : Food and Agriculture Organization  |
| FCPF      | : Forest Carbon Partnership Facility   |
| FLEGT     | : Forest Law Enforcement, Governance and Trade   |
| FLEGT/VPA | : Forest Law Enforcement, Governance and Trade/Voluntary Partnership Agreement   |
| FM        | : Financial Management   |
| FPIC      | : Free, Prior and Informed Consent   |
| FR        | : Forest Reserve   |
| FRA       | : Forest Resource Assessment   |
| GEF       | : Global Environment Facility  |
| GIZ       | : Deutsche Gesellschaft für Internationale Zusammenarbeit (German Federal Enterprise for International Cooperation)  |
| HDI       | : Human Development Index  |
| IPFMU     | Integrated Programme Fiduciary Management Unit   |
| IRD       | : Institut de Recherche pour le Développement (French Development Research Institute)  |
| M&MRV     | : Monitoring & Measurement, Reporting and Verification   |
| MEMPD     | : Ministère d'État, Ministère du Plan et du Développement (Ministry of State for Planning and Development)   |
| MINEF     | : Ministère des Eaux et Forêts (Ministry for Water Resources and Forests)  |
| MINESUDD  | : Ministère de l'Environnement, de la Salubrité Urbaine et du Développement Durable (Ministry for the Environment, Urban Sanitation and Sustainable Development) |
| MRV       | : Measurement, Reporting and Verification  |
| NFMS      | : National Forest Monitoring System  |

|          |   |
|----------|---|
| NGO      | : Non-Governmental Organization   |
| OIPR     | : l'Office Ivoirien des Parcs et Réserves (Ivorian Office of Parks and Reserves)  |
| ONACC    | : National Climate Change Observatory   |
| PARC-CI  | : Cote d'Ivoire - Protected Area Management Project   |
| PCGAP    | : Programme Cadre de Gestion des Aires Protégées (Framework Program for the Management of Protected Areas)  |
| PCGF     | : Programme Cadre de Gestion des Forêts (Forest Management Framework Program)   |
| PDDA     | : Plan Directeur de Développement Agricole (Agricultural Development Master Plan)   |
| PDF      | : Plan Directeur Forestier (Forest Master Plan)   |
| PES      | : Permanent Executive Secretariat   |
| PFR      | : Plan Foncier Rural (Rural Land Tenure Plan)   |
| PLANGIRE | : Plan d'Actions National de Gestion Intégrée des Ressources en Eau (National Action Plan for Integrated Water Resources Management)  |
| PND      | : National Development Plan (Plan National de Développement)  |
| PNIA     | : Programme National d'Investissement Agricole (National Agricultural Investment Program)   |
| PRSP     | : Poverty Reduction Strategy Paper  |
| RCI      | : Republic of Côte d'Ivoire   |
| REDD+    | : Reducing Emissions from Deforestation and Forest Degradation in Developing Countries including conservation, sustainable management of forests and enhancement of carbon stocks |
| REDD+ TC | : REDD+ Interministerial Technical Committee  |
| REDD+ NC | : REDD+ National Coordination   |
| R-PP     | : Readiness Preparation Proposal  |
| SESA     | : Strategic Environmental and Social Assessment   |
| SODEFOR  | : Société de Développement des Forêts (Forest Management Agency)  |
| UNDP     | : United Nations Development Programme  |
| UNEP     | : United Nations Environment Programme  |
| UNFCCC   | : United Nations Framework Convention on Climate Change   |

UN-REDD : United Nations Collaborative Programme on REDD  
VPA : Voluntary Partnership Agreement

Republic of Côte d'Ivoire  
REDD+ READINESS PREPARATION SUPPORT  
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## I. Introduction and Context

### A. Country Context

1. **Population and economic growth.** Côte d'Ivoire is the second largest economy in West Africa, covering an area of 322 462km<sup>2</sup> with 22.4 million inhabitants. It is also the world's largest exporter of cocoa and cashews, with an important manufacturing sector; it possesses an economy with great economic potential as seen in its remarkable recovery from the crisis ending in 2011. Despite the economic recovery since the instability (2002-2011), poverty remains high, having increased from 10 percent in 1985 to 43 percent in 2008.

2. **Following a long period of political and social crisis and instability coupled with economic decline, Côte d'Ivoire has made rapid progress since the end of the crisis in May 2011.** The government formed in early 2011 has rapidly reorganized the administration, restructured the army and redeployed public security and judiciary services, enabling the reunification of the country - a progressive return to normalcy - and an immense improvement of the security situation across the territory. The government has also undertaken a number of important reforms on the economic governance side and reached the Heavily Indebted Poor Countries (HIPC) completion point at the end of June 2012. Despite some limitations in addressing current drivers of fragility, the National Development Plan developed by the government and covering the period 2012–2015 provides a valuable framework to guide economic and social policy; and to channel investments in priority areas. Côte d'Ivoire's progress has also manifested itself in sharp improvements on the CPIA rating which rose from 2.7 in 2011 to 3.2 in 2013, the fastest increase in the entire region and one of the fastest historically for any country. Similarly, Côte d'Ivoire's ranking on the Doing Business index has improved greatly since the end of the crisis.

3. **Since the end of the crisis, growth performance has been extremely strong.** Growth in 2012 was 9.8 percent and was estimated at 8.7 percent in 2013. Growth in 2014 is projected at 8.5 percent, and close to 8 percent over the medium term driven by both public and private investment, and recovery in the exports of main commodities.<sup>1</sup> With the political and social

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<sup>1</sup> While prices of Côte d'Ivoire's main export commodities plummeted, the recovery of production in agricultural commodities, such as cocoa, rubber, palm oil and cashew nut due to the end of the crisis and more favorable conditions established by the government was essential to the strong growth performance.

situation of the country stabilizing, the private sector regained confidence and began to invest to reestablish production capacity in the manufacturing subsector. Exports have grown impressively in value terms even since 2000, driven by oil with cash crops such as rubber and cashew enjoying growth rates in excess of 20 percent, reflecting both real growth and improved prices. Petroleum products (17.8 percent) and cocoa (13.6 percent) have grown rapidly, though this has been essentially due to stronger prices. However, three traditional sources of growth have suffered decline (coffee, cotton) or stagnation (wood products) and these resource-based exports have continued to drive the country's growth.

4. **Despite these achievements, the government still faces a number of challenges and threats that could destabilize and undermine the country's fragile transition toward peace and development.** The CPIA rating remains well below the threshold for fragile countries (3.5), and Côte d'Ivoire's ranking on the Cost of Doing Business places it near the bottom of countries in sub-Saharan Africa. More importantly, root causes of the conflict remain fundamentally unaddressed and include lack of security on land rights, poor judiciary and marginalization of ethnic groups. Since 1999, efforts have failed to resume the positive development path of previous decades. Reconciliation between government and opposition remains elusive and both the security forces and society as a whole are divided. High levels of unemployment and underemployment, especially among young people, create dissatisfaction and potential for conflict. Root causes of economic decline and stagnation are deep-seated and not easily resolvable, especially on land.

5. **Côte d'Ivoire's economy continues to be highly dependent on a narrow set of agricultural commodities, in particular cocoa and coffee, thus continuing the country's reliance on international commodity prices and the exchange rate.** The poor business environment is characterized by opaque land regulations, high cost of logistics, poor quality of physical infrastructure, lack of access to finance—especially for smaller enterprises, tax policy and tax administration, security, judiciary, licensing processes and a lack of skilled labor.

6. **Disparities between Abidjan (urban Côte d'Ivoire) and rural areas are great, with poverty of those living near forest zones (primarily the West and South) increasing.** Much of this has been a result of the volatility of world prices for coffee and cocoa during the past decade of internal conflict. These are also areas with limited access to basic services, few investments in infrastructure, high rates of social and economic inequalities, gender-based violence, land issues, and ex-combatants. While urban poverty has increased from a low of 6

percent to 29 percent between 1985 and 2008, the fact remains that 3 out of 4 poor people continue to live in rural areas. The current reality of Ivoirians is one characterized by high poverty, high inequality and multiple threats from shocks. The interaction of high poverty and inequality provide the conditions which are vulnerable to social exclusion, intense group rivalry and mass group mobilization, and possibly conflict. The latter in turn lead to further erosion of living standards, thereby reinforcing the negative feedback and stagnation.

## B. Sectoral and Institutional Context

7. **Forests in Côte d'Ivoire are divided into two categories: the State Rural Forest (Domaine Forestier Rural de l'Etat – DFRE), and the State Permanent Forest Estate (Domaine Forestier Permanent de l'Etat – DFPE)** made up of 231 forests, 6 national parks and 8 natural reserves.

8. **The annual rate of deforestation is estimated at 3.5% for the 1980-2008 period** (SOFRECO, 2009), making it one of the highest in the world. The REDD+ process in Côte d'Ivoire aims to curb this trend so that a key portion of these remaining forests can subsist and survive the national forest transition. A number of political, investment and field actions have been taken to curb this trend, rebuild the country's ecological capital, and make a transition to a more sustainable development model. Côte d'Ivoire has suffered in its recent history from a high rate of deforestation and forest degradation in addition to the widespread degradation of its natural resources due to factors such as the expansion of agriculture and demographic growth in an environment of political instability. Only 2.7 million hectares (FAO, 2005) remain of a forest area estimated at 16 million hectares at the beginning of the century.

9. **The REDD+ mechanism is designed to create a framework for action taken by countries to maintain (and enrich) their forest stock.** Côte d'Ivoire will be able to scale up action to counter deforestation for sustainable development as part of its engagement in the REDD+ process, the environmental funding mechanism driven by the United Nations Framework Convention on Climate Change.

10. **REDD+ Opportunities.** The Republic of Côte d'Ivoire expects that REDD+ can support the country in ensuring sustainable forest management, and provide incentives to address some of the main drivers of deforestation and forest degradation, such as slash-and-burn agriculture (shifting cultivation) and fuelwood consumption. In addition, REDD+ is an opportunity to help

the country address the issue of a national land use planning exercise that will mitigate impacts on forest cover from developments in other sectors, such as mining, commercial agriculture and infrastructure development and reinforce the reform of the land tenure acquisition process. For this purpose, REDD+ should be considered a sustainable development promotion instrument. Following discussions during a preparation mission in May 2014, the Ministry of State for Planning and Development indicated great interest in integrating the strategies developed under REDD+ into the National Development Plan (Plan National de Développement – PND) for the period 2016-2020.

11. **Deforestation and forest degradation in Côte d’Ivoire is a result of overlapping factors interacting at the global, regional and local level**, of which some are ‘direct’ drivers of deforestation, like agricultural expansion, infrastructure development, and wood harvesting. Interacting with these, are several ‘indirect’ drivers, institutional and location-specific factors, often associated with economic growth, demographic change, policy incentives in other sectors (i.e. land use and energy) and technology changes; and political and socio-economic factors like poverty, migration, and land tenure and use rights (Geist and Lambin 2002).

The current understanding of these drivers in the Ivorian context is as follows:

**Table 1. Drivers of deforestation and forest degradation in Côte d’Ivoire as described in the RPP**

| Direct drivers   | Region(s)                            | Importance and future trends:  |
|--|--------------------------------------|--|
| <b>Agriculture sector expansion</b> especially in cash crops (cocoa, rubber and palm oil) and <b>shifting cultivation</b> on forest soils and fallow areas (rice and yams) and fuelwood harvesting<br><br><b>(deforestation and degradation)</b> | Rural areas (Primarily in the South) | <p>There is a strong trend of agricultural encroachment on forested lands, resulting in a loss of ¼ of the original forest cover in the country. A population of approximately 300,000 live inside classified forest areas in Côte d’Ivoire; and of these 231 classified forest area, covering 4,196,000 ha, 30-40% are estimated to be degraded. The majority of this degradation is thought to be a result of this agricultural encroachment; it is estimated that 30-40% of Ivorian cocoa comes from these classified forest areas.</p> <p>Clearing of land using forest fires results in significant tree mortality as well as the destruction of forests. The removal of vegetation and resulting bare soil quickly become colonized by highly flammable invasive weed species (<i>Imperata</i>, <i>Chromolaena odorata</i>, etc.), which in turn inhibit forest regeneration. These practices resulting in soil nutrient</p> |

|  |                        |   |
|--|------------------------|---|
|  |                        | depletion cause the rural dwellers to sink even deeper into poverty. The continued use of fire can be attributed to (i) hunting and agriculture practices (slash-and-burn) in rural areas where fire is used to clear the land; (ii) lack of education and awareness of the consequences of forest fires, as well as an absence of regulations and enforcement; (iii) inadequate fire monitoring and alert systems, and under-equipped, ineffectual, and understaffed fire brigades.  |
| <b>Informal unmanaged wood extraction</b> in natural forests and protected areas beyond regeneration capacity<br><br><b>(degradation)</b>          | Primarily in the South | Classified Forest areas are managed by SODEFOR; in the South of the country, however, only 60 Classified Forest areas possess an elaborated management plan, while only 10 are able to implement the management plan. The majority of Classified Forest areas in the north are delineated in records; however, few to none are delineated on the ground.<br><br>There is therefore ample opportunity for intrusion by poachers, illegal loggers and farmers, where no formal forestry activities are being carried out, in designated management areas as well as in protected areas. In those protected areas where Forest Management Plans do exist, activities such as reforestation and forest protection are carried out. Farmers illegally harvest timber in forest reserves, with no regard to forest regulations or sustainable forest management practices. Loss of protected areas adds to the problem of land degradation and threatens habitats. It is therefore vital that forest management plans be developed, implemented and enforced in the various protected areas as well as in private and community forests. This will require capacity building for the stakeholders in the forestry sector. |
| Small-scale and/or semi-industrial mining (gold, diamonds, uranium, etc.) (less important)<br><br><b>(deforestation)</b>                           |                        | Currently under-developed, the mining sector could increase significantly in the future.  |
| <b>Indirect drivers</b>  | <b>Region(s)</b>       | <b>Importance and future trends:</b>  |
| <b>A fragile state</b> recovering from the politico-military crisis of 2002-2010; <b>Land Tenure uncertainty &amp; poverty; Migration:</b> between | Entire country         | Root causes of the conflict remain fundamentally unaddressed and include lack of security on land rights, poor judiciary and marginalization of ethnic groups. Reconciliation between government and opposition remains elusive and both the security forces and society as a whole are divided. High levels of unemployment and underemployment,   |

|   |                |   |
|---|----------------|---|
| provinces and from abroad<br><br><b>(deforestation and degradation)</b>   |                | <p>especially among young people, create dissatisfaction and potential for conflict. Root causes of economic decline and stagnation are deep-seated and not easily resolvable, especially on land.</p> <p>In Côte d'Ivoire, there are layers of land rights defined by overlapping systems of tenure: customary law based on locally-established and evolving unwritten rules, along with <i>de jure</i> laws that define the process of registering private property. This often results in uncertain tenure arrangements for rural populations.</p> |
| <b>An underdeveloped forest sector</b><br><br><b>(degradation)</b>  | Entire country | The timber manufacturing sector is underdeveloped. Although there are sawmill facilities, transformation is usually done according to local tradition, with chainsaws. The current harvesting and transformation techniques result in a high level of wood waste. The limited processing leads to a loss of value added (and additional income associated with this revenue); wood is often sold before it is subjected to a first stage of transformation or processing.   |
| <b>Poor policy steering, poor governance and policy alignment, i.e.: Agriculture sector promotion policies and WB &amp; IFC Investments (potential)</b><br><br><b>(deforestation and degradation)</b>   | Entire country | Improving agriculture is being promoted through the PNIA 2010-2015, as well as through WB grants and loans in the Agriculture sector, and IFC investments in the cocoa supply chain. Although there is a focus on sustainable supply chains, as well as private sector mobilization (Cargill, Mars, etc.) around zero-deforestation cocoa, these synergies should be maximized between programs in order to reap maximum benefits.  |
| <b>Population growth, land degradation and climate change; Infrastructure (roads, housing, etc.) (leading to further expansion of agricultural lands)</b><br><br><b>(deforestation and degradation)</b> | Entire country | Rapid growth of Côte d'Ivoire's population is the main factor driving increased demand of agriculture products. As a result of poor soil management and inappropriate cropping, residents of rural areas, in search of fertile land, are migrating into forested areas. The result of this migration is further agriculture encroachment on forested and protected lands. With increased population pressure and the need for increased food production, the fallow period is drastically reduced, thus leading to depletion of soil fertility.       |

12. **The National REDD+ Commission (CN-REDD+) is headed by a Permanent Executive Secretary nominated by MINESUDD.** The CN-REDD+ is made up of a National REDD+

Committee (with representation from all relevant ministries, line ministries and state-owned enterprises; refer to R-PP for details) responsible for steering the process, and a Technical Interministerial Committee (CTI), responsible for interministerial cooperation, in addition to the Permanent Executive Secretariat (PES – to be funded by this Readiness Grant), responsible for the implementation of activities associated with the development of the national strategy. All three of these groups play a role in ensuring that REDD+ is integrated into national, regional and local-level policies.

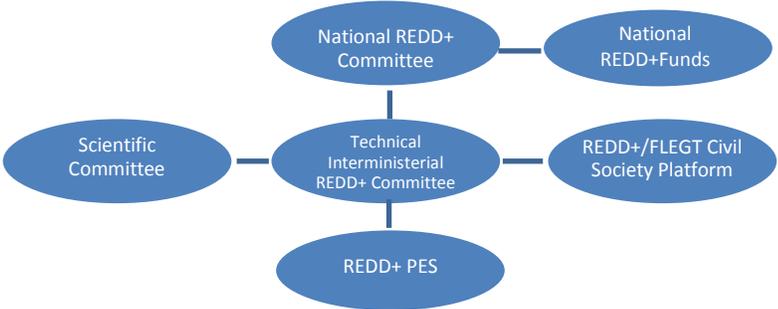


Figure 1. National REDD+ Commission Organigram

13. **The development of the REDD+ strategy will accompany the decentralization process taking place in Côte d’Ivoire** in order to ensure that the future REDD+ National Strategy is implemented across the country, that local government’s capacities for land-use planning is developed, and that national plans take into consideration regional priorities. This will be done through the 15 Regional Direction offices throughout the country. In the same vein, the FLEGT/REDD+ civil society platform will also have regional representation to facilitate dialogue at the grassroots level. Further, based on Côte d’Ivoire’s division into seven agro-ecological zones (**Figure 2**); the PES will employ three focal points who will be lodged at the Regional Direction offices of three preliminary agro-ecological focus regions that will be responsible for taking into consideration the agro-ecological aspects of each of these regions along with supervising studies on the drivers of deforestation and degradation in each. The additional agro-ecological zones’ priorities will be included through workshops and meetings hosted by Côte d’Ivoire’s decentralized Regional Direction offices where civil society and local communities will be invited to participate. These structures will enable a participatory, “bottom-up” process that takes into account the aspirations of local communities and relevant stakeholders. Regional coordination structures will facilitate the link between the Permanent

Executive Secretariat and the relevant officials at the Departmental level, whereas, the Technical Interministerial Committee will be in charge of managing the REDD+ activities at the local level. Coordinated by the REDD+ PES, the Technical Interministerial Committee will consist of representatives of all Ministries as well as of all the other stakeholders.

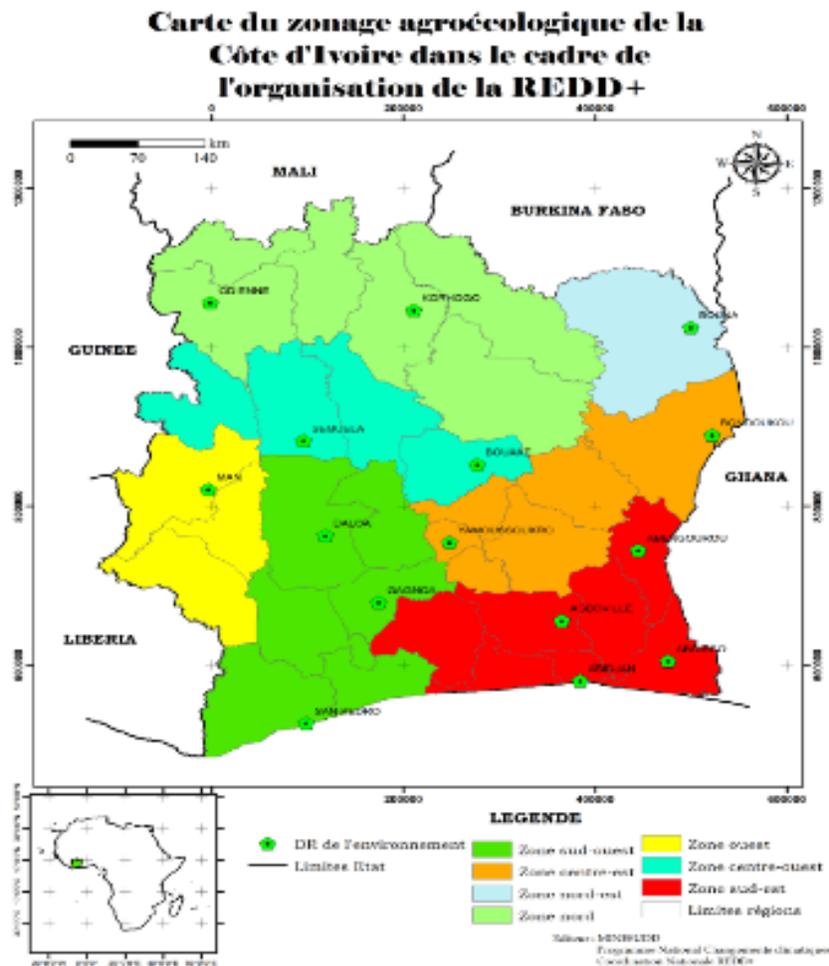


Figure 2. Agroecological zones of Côte d'Ivoire

14. **Institutional and Policy framework for REDD+.** The Council of Ministers of Côte d'Ivoire has enacted a decree on the REDD+ process, detailing its internal organization (Council of

Ministers Decree of October 24, 2012). The Minister for the Environment, Urban Sanitation and Sustainable Development (MINESUDD) has set up a National REDD+ Commission (REDD+ NC) to steer this new program. In 2012, a REDD+ Permanent Executive Secretariat (REDD+ PES) was set up to manage planning, fundraising and technical assistance for the national readiness preparation process for the REDD+ mechanism. A partnership has also been launched with civil society organizations and the FLEGT process.

15. **There are a number of reforms and large-scale investments being enacted across the land sectors in Côte d'Ivoire**, in land tenure, forest law reform and in agriculture, under the National Programme for Agricultural Investment (PNIA 2010-2015). In addition, a consortium led by the World Cocoa Foundation (WCF), IDH and IFC aims to create a US\$100 million market of farm input finance for 200,000 cocoa farmers in West Africa by 2015, with a preliminary focus on Côte d'Ivoire and Nigeria in order to develop this sector sustainably. To achieve this goal, they have created a platform of industry members (Cargill, ADM, Armajaro, Nestle, Mars), local commercial banks (Diamond Bank, Ecobank), raw materials company (OCP Group) and local importers. The program intends to improve cocoa farmers' livelihoods through access to credit for needed inputs, and make the business case to financial providers to increase services to the cocoa sector through the creation of sustainable supply chains. Similarly, the WB is supporting Côte d'Ivoire's agriculture sector through the Agriculture Sector Support Project with a US\$ 23.82 million equivalent credit, and a US\$ 26.18 million equivalent grant.

16. **In 2012, Côte d'Ivoire embarked on the multi-partner engagement and participation process as part of their REDD+ planning preparation** in order to make these participation structures operational, and to raise financial resources through international technical and financial partnerships. Côte d'Ivoire has become a member of two international REDD+ support platforms: the UN-REDD Programme (an FAO/UNDP/UNEP partnership) and the FCPF (World Bank). Beginning in 2012, UN-REDD, FCPF, AFD and EU REDD missions were conducted to assist Côte d'Ivoire with its initial analysis of needs and to plan its national REDD+ process. Since 2013, Côte d'Ivoire has also been receiving assistance from the Agence Française de Développement (AFD) under the Debt Reduction and Development Contract (C2D). This support includes funding for the national REDD+ process. The European Union REDD Facility (EU REDD) is also contributing. All of these institutional partnerships stand as evidence of the national political resolve to engage in the REDD+ process and international recognition of this commitment.

17. **Côte d’Ivoire’s national readiness preparation proposal for the REDD+ mechanism (known in short as the R-PP) presents the preliminary analyses and details an action plan for national organization,** stakeholder engagement, cooperation with FLEGT, etc. The R-PP is the national REDD+ process planning tool for the 2014-2017 period. It also serves to guarantee the harmonious coordination of the array of technical and financial assistance provided by UN-REDD, the FCPF, AFD/C2ED, and EU REDD.

18. **UN-REDD have been working in Côte d’Ivoire since 2012.** A first policy assistance-advisory mission in March 2012 focused on preparing the country’s institutional organization for the REDD+ process (as per the decree of October 24, 2012). Three capacity building and technical assistance projects followed: A targeted stakeholder engagement support project conducted by the UNDP in 2013 with funding of US\$50,000 (a second project is scheduled for before the end of 2013 for additional financing of US\$60,000); an FAO technical cooperation project (FAO/TCP financing) for a sum of US\$195,000 to build REDD+ and M&MRV capacities, conduct the national information/consultation campaign and provide a national technical assistant to the REDD+ PES; and a targeted FAO support project totaling US\$195,000 to build REDD+ readiness capacities, especially to draft and finalize the R-PP, take part in international conferences, develop the NFMS and coordinate the different REDD+ activities in the country. Côte d’Ivoire took part in training and capacity building meetings held by UN-REDD in Africa, including the DRC REDD+ universities held by the UNDP in 2010 and 2011, the REDD+ socio-environmental safeguards and multiple benefits workshop held by UNEP in Nairobi in 2013, and workshops on forest monitoring and M&MRV systems held by the FAO since 2011. The UNREDD Policy Board approved \$3 million in REDD financing for Côte d’Ivoire in July 2014.

19. **AFD and Côte d’Ivoire have agreed upon an allocation of US\$2,450,000 for the REDD+ process under the Debt Reduction and Development Contract (C2D).** An initial sum has already been disbursed to the REDD+ PES for information and communication activities, stakeholder engagement and FLEGT-REDD+ associative action. Details on the AFD/C2D’s engagement are available in Component 5 of the R-PP. The FCPF helped Côte d’Ivoire write the R-PP with targeted support in 2013. More recently, the Technical Advisory Panel assisted with a full review of Côte d’Ivoire’s proposals in October to improve the document and officially submit it to the FCPF Participants Committee.

20. **EU REDD in February 2013 supported the launch of the REDD+ process in Côte d’Ivoire in order to enhance participation and national involvement alongside the development of the R-PP.** Support from the EU REDD Facility focused first on the need to provide players with early

information about the REDD+ process and on possible interactions with the FLEGT process to improve forest governance (negotiations for a FLEGT Voluntary Partnership Agreement started in 2013). EU REDD and the REDD+ NC are aware that the progress expected of the REDD+ and FLEGT processes could easily be held back by the forest land needs of a far more powerful agricultural sector, which is already encroaching upon the permanent forest estate. Since mid-2013, therefore, they have been working on a way of engaging in constructive dialogue with the agricultural sector. This is an ambitious work plan (analyses, stakeholder mobilization, especially in the private sector, and field test actions within pilot projects) covering a range of sectors (potentially the cocoa, rice, palm oil, rubber, yam and cashew nut sectors).

**21. In June, 2013 the UN-REDD Policy Board selected Côte d’Ivoire as a priority country in Africa** for its new round of national programmes and officially invited the Government to submit an expression of interest and its priorities for UN-REDD support. At the same time, the FCPF announced a last R-PP submission window for funding consideration set for July 31, 2013. Following the submission of a first draft R-PP to the FCPF in late July 2013, and a subsequent draft in November 2013, the country was accepted into the FCPF Readiness Fund on Dec 15, 2013, providing it incorporate the resolutions of the Participants Committee of the FCPF.

**22. Information Sharing and early dialogue with key stakeholder groups are already well underway** with the abovementioned UN-REDD, EU REDD, and AFD/C2D support since 2012. Many national, regional and local information and consultation meetings were held on REDD+ in 2012 and 2013. These meetings also provided food for thought for this R-PP. Over 1,000 participants took part in the early information and consultation activities, representing the different REDD+ stakeholders (local communities, civil society, private sector, public administration, technical and financial partners, women’s and youth associations, local authorities, traditional chiefs, academic and research sectors, and the press). Within this stakeholder information exercise, UN-REDD’s stakeholder engagement targeted support project examined the REDD+ issues for civil society players, explored synergies between the FLEGT initiative and REDD+, and identified participation and consultation methodologies. Given the sound, well-established FLEGT platform for multi-partner and civil society dialogue, it was agreed that this same platform should serve for REDD+ dialogue and that other representatives could join the platform where needed.

**23. A new UN-REDD targeted support proposal is being prepared with the purpose of helping Côte d’Ivoire develop a National Stakeholder Engagement Plan.** This will be drawn up in early 2014 at the same time as the UN-REDD is preparing for Côte d’Ivoire’s acceptance into

their programme. Component 1C provides for the implementation of this plan with UN-REDD funding.

24. **A robust, credible REDD+ process depends on ongoing dialogue between government institutions, civil society and private sector players. The R-PP includes the implementation of the National Stakeholder Engagement Plan (see 1B above).** This plan will detail the chosen stakeholder engagement methodology, a work plan with communication and consultation activities, a timeframe and a budget. The joint UN-REDD and FCPF guidelines on stakeholder engagement in REDD+ readiness will provide the methodological framework. This component also provides for a series of communication, information dissemination and field survey activities.

C. Relationship to Country Partnership Strategy (CPS), upcoming Country Partnership Framework (CPF), and Country Priorities

25. **The current CPS (FY2010-FY2014 (extended from FY2013)) has four strategic objectives: strengthening of economic governance, infrastructure renewal, agricultural production and export promotion, and private sector development.** In the R-PP, the Government has also identified agricultural production and export promotion as a major development priority; this will form one of the axes of the REDD+ National Strategy which will in turn support the current CPS objective of agricultural production and export promotion.

26. **In preparation for the upcoming CPF elaboration process between the World Bank and the Government of Côte d'Ivoire, the Systematic Country Diagnostic (SCD) exercise has begun.** Building off of the current CPS priorities, the SCD will identify and discuss the challenges that will need to be overcome to allow the agriculture sector to live up to its potential which the REDD+ strategy development process will be designed to complement. In addition to sector- or crop-specific interventions, the SCD intends to highlight the importance of environmentally sustainable agriculture to prevent potentially irreversible depletion of natural capital, as well as the relevance of upgrading of physical infrastructure and addressing legal uncertainties on land tenure as critical constraints that need to be resolved to attain sustainable growth. The development of a REDD+ National Strategy for the country will attempt to address land tenure issues as well as strategies to conserve natural capital in terms of forest and treed landscapes. Without proper planning in this sector, Côte d'Ivoire's permanent forest estate could be further at risk of deforestation and degradation.

27. **Supporting Côte d'Ivoire in their plans to develop a National REDD+ Strategy aligns well with the Bank's priorities of supporting the development of a strategy for poverty reduction that is based on sustainable and inclusive growth.** In line with the SCD (and eventual CPF process), the REDD+ National Strategy will further explore means to increase productivity in the agriculture sector and structural transformation towards higher value-added goods. Key issues highlighted in the SCD overlap with priority areas under the National REDD+ Strategy development process: environmental sustainability, governance, land, and gender.

28. **Côte d'Ivoire 2010 CEA: The Country Environmental Assessment identified the following major issues for 2009-2010, which remain the same in 2014:** rapid loss of forest cover and biodiversity, land degradation, coastal erosion, air & water pollution, and urban environment degradation. The main changes in environmental management in the country have come about through a change in the institutional framework with the creation in 2011 of a Ministry of Environment and Sustainable Development (MINESUDD), and a Ministry of Water and Forests with related National and Local Directorates (MINEF), together replacing the former Ministry of Environment, Water and Forests.

29. **World Bank involvement in the Natural Resources sectors after reengagement in 2011 in the country include the following activities:** Ivory Coast Protected Area Project (PARC-CI) (GEF) (P111290); POPs Pesticides Management Project (GEPOP)(GEF)(P131778); and the Agriculture Sector Support Project (P119308).

30. **Given that the most recent formal engagement in the forestry sector by the Bank was in 1990, REDD+ will be an important point of re-entry in this sector as well as an opportunity for further engagement in the land-use sectors in Côte d'Ivoire for the Bank.** By supporting the country in developing its future capacity to tap into international payments for carbon and ecosystem services through REDD+, standing forests in Côte d'Ivoire, and improved agriculture systems (agroforestry, trees on farms, etc.) could become a source of economic diversification. In addition, by promoting equitable and transparent benefit sharing arrangements that reach forest-dependent communities (notably through women), the Readiness process could contribute to ensuring that REDD+ effectively contributes to poverty reduction in rural areas.

## II. Proposed PDO / Results

### A. Proposed Development Objective(s)

31. **The development objective is to reinforce the Republic of Côte d'Ivoire's capacity to design a socially and environmentally sound national strategy to reduce emissions from deforestation and forest degradation.**

### B. Key Results

32. **Institutions strengthened** at national, regional, and departmental levels; these institutions will be coordinating and implementing REDD+ readiness effectively and put in place an operational grievance and redress mechanism;

33. **A National REDD+ Strategy** (including analysis of options for the development of a benefit sharing plan) incorporating SESA outcomes and recommendations is prepared in a consultative manner and validated by national stakeholders. An Environmental and Social Management Framework (ESMF) for managing potential social and environmental risks of agreed REDD+ strategy options is prepared and validated;

34. **In order to measure progress towards achieving key results over the course of project implementation, a set of Yes/No indicators is proposed for each key result.** All of them refer to criteria (chosen among 34) set out in the Readiness Package Assessment Framework developed by the Forest Carbon Partnership Facility (FCPF) of which Côte d'Ivoire is a Participant Country.<sup>2</sup> The yes/no criteria allows for the national definition of these mechanisms, without being overly prescriptive, while still providing a means for measuring their progress.

35. **The R-Package Assessment Framework is forward-looking and focuses on progress in readiness preparation, rather than on defining universal 'requirements' for REDD+ readiness.** This Assessment Framework provides a snapshot of readiness progress relative to countries'

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<sup>2</sup> The Readiness Package (R-Package) is completed at the end of the readiness preparation phase, at a stage when activities proposed in the readiness preparation proposal (R-PP) are well-advanced or completed. The R-Package consists of a national multi-stakeholder self-assessment by the country, using the Readiness Package Assessment Framework as guidelines. The Readiness Package Assessment Framework was formally endorsed (resolution PC/14/2013/1) by the Participants Committee (PC) of the FCPF at the fourteenth PC Meeting, March 19-21, 2013, Washington, DC.

circumstances and encompasses all major readiness preparation activities (from REDD+ organization, consultation and strategy preparations, to establishing a reference level and monitoring systems, as well as cross-cutting issues such as governance, and environmental and social safeguards) – many of which will remain on-going beyond the R-PP stage.

| Key Result: Institutions strengthened at national, regional, and departmental levels effectively coordinating and implementing REDD+ readiness with a grievance and redress mechanism operational |   |
|---|---|
| Criteria of the Readiness Package Assessment Framework  | Indicators  |
| National REDD+ Management Arrangements  | Accountability and transparency<br>Yes/No                                     |
|   | Operating mandate and budget<br>Yes/No  |
|   | Multi-sector coordination mechanisms and cross-sector collaboration<br>Yes/No |
|   | Technical supervision capacity<br>Yes/No                                      |
|   | Funds management capacity<br>Yes/No   |
|   | Feedback and grievance redress mechanism<br>Yes/No                            |
| Consultation, participation and outreach  | Participation and engagement of key stakeholders<br>Yes/No                    |
|   | Consultation processes<br>Yes/No  |
|   | Information sharing and accessibility of information<br>Yes/No                |
|   | Implementation and public disclosure of consultation outcomes<br>Yes/No       |

| Key Result: A National REDD+ Strategy incorporating SESA outcomes and recommendations is prepared in consultative manner and validated by national stakeholders. An Environmental and Social Management Framework (ESMF) for managing potential social and environmental risks of agreed REDD+ strategy options is prepared and validated including analysis of options for the development of a benefit sharing plan. |            |
|--|------------|
| Criteria of the Readiness Package Assessment Framework   | Indicators |

|  |  |
|--|--|
| Assessment of land use, land-use change drivers, forest law, policy and governance | Assessment and analysis<br>Yes/No  |
|  | Prioritization of direct and indirect drivers/barriers to forest enhancement<br>Yes/No |
|  | Links between drivers/barriers and REDD+ activities<br>Yes/No                          |
|  | Action plans to address natural resources rights, land tenure, governance<br>Yes/No    |
|  | Implications for forest law and policy<br>Yes/No                                       |
| REDD+ Strategy options   | Selection and prioritization of REDD+ strategy options<br>Yes/No                       |
|  | Feasibility assessment<br>Yes/No   |
|  | Implications of strategy options on existing sectoral policies<br>Yes/No               |
| Social and Environmental impacts   | Analysis of social and environmental safeguards issues<br>Yes/No                       |
|  | REDD+ strategy design with respect to impacts<br>Yes/No                                |
|  | Environmental and Social Management Framework<br>Yes/No                                |
| Implementation Framework   | Analysis of options for the development of a benefit sharing plan<br>Yes/No            |

### III. Project Context

#### C. Concept

##### 1. Description

36. This REDD+ Readiness Preparation grant will provide funding to support Côte d'Ivoire in the amount of US\$3.8 million in carrying out a subset of activities outlined in its R-PP. The full R-PP includes all activities necessary for Côte d'Ivoire to become ready for REDD+ as well as additional complementary activities estimated to cost up to US\$19 million. For a list of all activities to be financed under the R-PP by all partners please refer to the link in **Annex III. R-PP Submitted by the Republic of Côte d'Ivoire)** **Annex III. R-PP Submitted by the Republic of Côte d'Ivoire**

## 2. Project Components

### 37. FCPF will finance six major components of the R-PP that have been prioritized by the REDD+ Permanent Executive Secretariat (PES):

- National Readiness Management Arrangements (Component 1a):

Activities will support the appointment of the staff of the Permanent Executive Secretariat (PES); PES travel expenses as well as the purchase of a vehicle, a computer and office supplies as well as their maintenance.

- Consultation and Participation Process (Component 1c):

Activities will include recruiting staff to support the training/capacity building for the REDD+/FLEGT civil society platform and its regional branches in the agro-ecological zones as well as substantial fieldwork in awareness raising.

- Assessment of Land Use, Land Use Change Drivers, Forest Law, Policy and Governance (Component 2a):

Activities will include a study on the history of land use and future strategic options; a national study of wood use for energy; and an analytical study on the potential of reforestation at the national level; along with accompanying validation workshops.

- REDD+ Strategy Options (Component 2b):

Activities will include support for interministerial workshops to feed into the development of REDD+ strategy options.

- REDD+ Implementation Framework (Component 2c):

Activities will assess the relevant existing feedback and grievance redress mechanisms and arrangements (FGRMs), and either strengthen the existing FGRMs or, as necessary and appropriate, establish a new FGRM, to address any relevant feedback and grievances during the REDD+ readiness process. In addition, analysis and consultation on options for the development of a benefit sharing plan (for carbon and non-carbon benefits) will be carried out.

- Social and Environmental Impacts during Readiness Preparation and REDD+ Implementation (Component 2d):

Activities will support the Strategic Environmental and Social Assessment (SESA) and the development of the Environmental and Social Management Framework (ESMF).

Support is limited to technical assistance, analytical studies, capacity building, goods, operating costs, and consultation processes and does not include the implementation of site-specific REDD+ programs on the ground. The activities have been prioritized based on the comparative advantages of the FCPF, on-going work supported by other development partners and the likelihood of follow up work by other actors active in the REDD+ space in Côte d'Ivoire.

38. **Other development partners.** Several activities and projects are currently under implementation and funded by various partners. These activities will contribute to the R-PP process. The Republic of Côte d'Ivoire has started the identification of partners who may finance other activities identified in the R-PP. The United Nations REDD+ programme (UN-REDD) has agreed to financially support the REDD+ readiness preparation phase in Côte d'Ivoire for a sum of US\$3.8 million. UN-REDD funds will support a range of activities across the Components and fully support the establishment of a national Reference Emissions Level or Reference Level, and the Measurement, Reporting and Verification (MRV) system, which are key pillars of REDD+ Readiness. The UN-REDD Programme may provide additional, targeted assistance through its Global and Regional Programmes.

39. **L'Agence Française de Développement (AFD) is supporting R-PP implementation through France's bilateral *Debt Reduction and Development Contract (C2D)* with Côte d'Ivoire, which involves the refinancing of ODA claims through €2.9 billion in grants.** The first C2D contract totals €630 million and is being executed over a three-year period (December 2012 to December 2015). It earmarks €16,464,493 for protected area management and sustainable forest management, approximately €3,048,980 of which is allocated to spatial monitoring of land use and the REDD+ mechanism (€1,500,000 on REDD+ broken down, in principle, as follows: i) support to run the REDD+ technical secretariat: €338,500; ii) technical assistance and support for the R-PP writing process: €135,000; and iii) pilot project: €1,026,500. These indicative amounts are given in US dollars in the budget below. The Institut de Recherche pour le Développement (French Development Research Institute – IRD) has also pledged to support the implementation of Component 4a with funds totaling US\$328,000.

40. **The European Union’s Forest Institute, EFI, has shown a great deal of interest in Côte d’Ivoire’s REDD+ process,** with its participation in the initial information campaign and in the development of a cost-benefit analysis tool to engage the main agricultural sectors driving deforestation in a constructive dialogue (in order to break the link between agricultural production and deforestation). Its assistance to the process has been mainly technical. Its financial and technical assistance to the process, currently standing at some US\$150,000, remains to be determined. It is planned to be used for private sector engagement in agriculture supply chains and a potential pilot study, the details of which remain to be determined.

41. **The German Federal Enterprise for International Cooperation, GIZ, has been providing technical assistance since the beginning of the process in the RCI, and actively supports their FLEGT programme.** However, direct financial support for R-PP implementation has not yet been proposed. GIZ has a significant amount of long-standing expertise, particularly in the Taï and Comoé National Parks (with co-funding from KfW).

42. **Coordination.** Coordination with the other partners will be ensured through: i) joint supervision missions; (ii) intensive communication between the programs; and (iii) having the same interlocutor at the Government level (the Permanent Executive Secretariat of the National REDD+ Commission).

43. **The table below summarizes the activities to be financed by the FCPF.**

| Project Activities  | R-PP component | FCPF Grant (KUSD) |
|---|----------------|-------------------|
| <b>1. Support to the national readiness management arrangements</b>           |                | <b>2,322</b>      |
| 1.1 Coordination of the REDD+ Readiness Process                               | 1A             | 1,658             |
| <i>1.1.1 Permanent Executive Secretariat (PES) staff/consultant team</i>      |                | <i>986</i>        |
| <i>1.1.2 PES Travel Expenses</i>  |                | <i>150</i>        |
| <i>1.1.3 PES Vehicle &amp; maintenance (repairs, fuel, etc.)</i>              |                | <i>218</i>        |
| <i>1.1.4 PES office supplies (computers, software, printers, paper, etc.)</i> |                | <i>304</i>        |
| 1.2 Support for consultation and participation process                        | 1C             | 664               |

|   |       |              |
|---|-------|--------------|
| 1.2.1 Support to train and structure the national REDD+/FLEGT civil society platform and its regional branches in the agro-ecological zones |       | 500          |
| 1.2.2 PES staff support to the civil society platform   |       | 164          |
| <b>2. Support to the preparation of a national REDD+ Strategy</b>   |       | <b>1,478</b> |
| 2.1 Assessment of land use, land use change drivers, forest law, policy, and governance   | 2A    | 285          |
| 2.1.1 Analysis of history of land use and future strategic options  |       | 110          |
| 2.1.2 National study on the wood energy supply chain scaled down to the agroecological zones & validation workshop                          |       | 100          |
| 2.1.3 Analytical study on the potential of reforestation at the national level & validation workshop  |       | 75           |
| 2.2 REDD+ Strategy Options  | 2B    | 109          |
| 2.3 Feedback and grievance redress mechanism  | 1A/2C | 200          |
| 2.4 Analyzing options for a future benefit sharing plan   | 2C    | 160          |
| 2.5 Social and environmental impacts of the REDD+ preparation procedure & its implementation (SESA)   | 2D    | 724          |
| 2.5.1 Hiring the SESA Unit experts  |       | 200          |
| 2.5.2 SESA and development of Environmental Social Management Framework (ESMF)  |       | 524          |
| <b>Total Costs</b>  |       | <b>3,800</b> |

**COMPONENT 1: SUPPORT TO THE NATIONAL READINESS MANAGEMENT ARRANGEMENTS (US\$2.8 million)**

**COMPONENT 1.1 - COORDINATION OF THE REDD+ READINESS PROCESS:**

44. This component will support the structures that will lead the coordination and implementation of the REDD+ Readiness process in Côte d'Ivoire, including the National REDD+ Commission, the REDD+ Interministerial Technical Committee, and the Permanent Executive Secretariat, by providing them with the adequate human, technical and operational resources.<sup>3</sup>

<sup>3</sup> Sustainability of financing: The scope of the REDD+ readiness process is to create a national infrastructure to welcome carbon transactions in an environmentally and socially sound way. When the country is deemed ready,

The REDD+ PES will have seven focus groups: (i) Information, Education and Communication and Regional Deployment, (ii) Alignment with the Agricultural Sectors (private sector engagement), (iii) Implementation Strategy and Framework, (iv) Pilot Projects, (iv) Environmental and Social Assessment, (v) Reference Level(s), Monitoring & Measurement, Reporting and Verification, and (vii) Monitoring and Evaluation. The FCPF will support the operation of the focus groups including meetings, research, production of reports, missions (travel costs) and validation workshops. FCPF Grant funds will finance the following:

45. **Supporting the staffing of the Permanent Executive Secretariat (1.1.1).** Recruitment of consultants on REDD+ will strengthen the National REDD+ Permanent Executive Secretariat (PES) so as to ensure it can deliver the activities planned as part of the REDD+ readiness process. The National REDD+ Commission's PES is managed by a Permanent Technical Secretary appointed by decree on the recommendation of the Minister for the Environment and Sustainable Development. The composition and organization of the PES are stipulated by joint order of the Minister for the Environment and the Minister for Forests (Article 18 of the decree 2012-1049 of October 24, 2012). The SEP (lodged within MINESUDD) are envisioned to require approximately 18 professionals to manage and/or carry out all of the REDD+ readiness components while also developing national capacities. The recruitment of an expert with a strategic/management profile is envisioned to assist the National REDD+ Commission in steering the process with a strategic approach, and in raising additional financial resources.

46. **Operational budget (1.1.2)** will be provided to pay for travel costs associated with PES business (workshops, field visits, etc.). The REDD+ PES will ensure that REDD+ is integrated with national and sectoral policies and strategies, as well as other development and planned initiatives. To succeed, this will require close cooperation with a large number of governmental and non-governmental entities. Such cooperation will consist of frequent international and nationwide meetings and workshops, including field trips.

47. **Purchase of equipment needed for an operational and effective REDD+ Permanent Executive Secretariat (1.1.3).** Field trips will also require frequent travel and a PES-dedicated vehicle. Consequently, the FCPF will support the acquisition of a vehicle and its maintenance.

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the country would have the opportunity to enter into the investment phase with carbon payments and/or other sources of finance supporting the functioning of this infrastructure over the medium to longer term.

48. **Supporting operating costs to secure the functioning of REDD+ PES (1.1.4).** Procure office supplies including computers and software, as well as support for annual financial audits and purchase of financial management software if needed.

#### COMPONENT 1.2 – SUPPORT CONSULTATION AND PARTICIPATION PROCESS

49. The objectives of this component include: (i) giving stakeholders a voice to take account of their experiences, their expectations and their rights; (ii) promoting bottom-up feedback to improve the development of the strategy and decision-making; (iii) ensuring that the REDD+ strategy options are properly understood and acceptable to make sure they are suitable, effective and sustainable, and; (iv) guaranteeing transparency and a bottom-up approach, including in the approach to finding solutions to problematic issues. Before launching the stakeholder consultation process, the National REDD+ Committee's PES will coordinate the development of a stakeholder consultation plan identifying the specific objectives and communication tools and method used (financed by AFD and UN-REDD). The FCPF funds for consultations will be additional to activities being financed by other donor partners.

50. **Support to train and structure the national REDD+/FLEGT civil society platform and its regional branches in the three agro-ecological zones (1.2.1).** The FCPF funding for the consultation and participation process will focus on training and activities necessary to structure the national REDD+ / FLEGT civil society platform and its regional branches in the agro-ecological zones. The purpose of this platform is to facilitate the synergies between the REDD+ and FLEGT processes for civil society engagement. This platform's objectives will include: (i) raising awareness in rural areas that have not already been reached by the National REDD+ Committee (or PES) and the FLEGT team; (ii) raising the concerns and proposals of the most vulnerable populations to enrich the REDD+ strategy and FLEGT VPA negotiations, and; (iii) strengthening the organizational capacity of local NGOs and associations in areas for deployment. The FCPF support should also allow the platform to engage in relevant meetings of civil society at the local, regional, national and international level.

51. **PES staff support to the civil society platform (1.2.2).** The REDD+ / FLEGT platform will be supported by 2 dedicated PES staff (over the readiness preparation phase) to strengthen its structure, enlarge its representation, purchase equipment, and to support implementation of consultation and participation activities in the regions. To ensure effective coordination and

decision-making regarding joint REDD+ / FLEGT consultations and related activities, a micro-project selection committee will be established.

## **COMPONENT 2: SUPPORT TO THE DESIGN OF A NATIONAL REDD+ STRATEGY (US\$1,478 thousand)**

### COMPONENT 2.1 - PREPARATION OF THE NATIONAL REDD+ STRATEGY

52. This component aims to support a series of analytical work that would contribute to the preparation of an effective national REDD+ strategy for Côte d'Ivoire. The UN-REDD Programme will be providing funding for other analytical studies. The FCPF will fund three sub-components:

53. **Assessment of the history of land use and future strategic options (2.1.1).** Based on existing data and consultations during the formulation of the R-PP, a preliminary analysis of the direct and underlying causes of deforestation and forest degradation in Côte d'Ivoire exists. However, it is recognized that the analyses conducted in the preparation of the R-PP were often based on fragmentary and incoherent data. Therefore, during the readiness process the PES will coordinate a series of thorough studies to generate improved quantitative data on forest cover, deforestation and forest degradation, to provide a reliable basis for the development of the REDD+ strategy.

54. **National study on the wood energy supply chain scaled down to the agro-ecological zones & validation workshop (2.1.2).** Under this component, the FCPF funds will be used primarily to support the recruitment of consultants to conduct a national study on the wood energy sector (supply and demand) and to support the dissemination of the results through public workshops.

55. **Analytical study on the potential of reforestation at the national level & validation workshop (2.1.3).** Based on existing data and consultations during the formulation of the R-PP, a preliminary analysis of areas available for reforestation across the country will be identified. Under this component, the FCPF funds will be used primarily to support the recruitment of consultants to conduct a national study on this topic.

### COMPONENT 2.2 REDD+ STRATEGY OPTIONS

56. Recognizing that it is crucial that all relevant ministries remain involved in the REDD+ National Strategy development process, through this component, the FCPF will be supporting interministerial workshops carried out for the purpose of detailing the national REDD+ strategic options. Events and processes related to the validation of these options will also be supported to ensure cross-sectoral buy-in into the process.

#### COMPONENT 2.3 FEEDBACK AND GREVIANCE REDRESS MECHANISM

57. Given the broad range of stakeholders involved and the potential complexity of the REDD+ process, a functional and easily accessible national feedback and grievance redress mechanism is critical from the earliest stages of R-PP implementation. Therefore, particular attention will be paid to geographically, culturally or economically isolated or excluded groups. The grant will support the design and early implementation of this mechanism. The FCPF Grant funds will be used to:

- Undertake an assessment of existing mechanisms, arrangements and national institutional capacity for feedback and grievance redress mechanism;
- Assure staffing to implement the identified redress mechanism during the REDD+ readiness process, bearing in mind that priority will be given to overhauling existing mechanisms with the aim of making them effectively operational and functional.

#### COMPONENT 2.4-BENEFIT SHARING PLAN

58. The FCPF grant will support an in-depth analysis of legal and institutional issues around REDD+, including the options for the creation of a future benefit sharing plan.

#### COMPONENT 2.5 – SOCIAL AND ENVIRONMENTAL IMPACTS OF THE REDD+ PREPARATION PROCEDURE AND OF ITS IMPLEMENTATION

59. This component aims to support Strategic Environmental and Social Assessment (SESA) which will be able to inform the national REDD+ strategy. The SESA will contribute to the REDD+ readiness process in Côte d'Ivoire by assessing how REDD+ strategy options address environmental and social priorities associated with current patterns of land use and forest management. Gaps identified through this assessment would lead to adjustments in the REDD+ strategy options to close the gaps. Also, the SESA will provide an Environmental and Social

Management Framework (ESMF) that will outline the procedures to be followed for managing potential environmental and social impacts of specific policies, actions and projects during the implementation of the REDD+ strategy.

60. The government of Côte d'Ivoire is in the process of drafting a decree on the SESA for policies, plans and programs. This draft aims to establish “a participatory analytical approach to taking into account environmental considerations in the formulation of local, national or regional policies, plans and programs drawn by a public authority or by private entity for adoption by an organization, a ministry, the Government or the National Assembly” (draft decree in process, 2012). It is expected that the decree on the SESA will meet the relevant FCPF guidelines when adapted to the needs of REDD+.

61. **The FCPF grant will support the financing of the consultants’ payroll of the SESA Unit in the PES (2.5.1):** A SESA Unit will be established as part of the REDD+ PES and it will consist of at least two senior experts (an environmental expert and a social development expert). If needed, the PES will hire additional expertise. This team will supervise the SESA process (see activities below) that will allow Côte d'Ivoire to reduce as much as possible the potential social and environmental impacts of the REDD+ strategy options, in particular relative to at-risk groups. FCPF will support the payroll of this team over the grant period. The CN-REDD envisions carrying out a SESA at each stage of the national REDD+ strategy’s planning and implementation.

62. **The FCPF grant will support the SESA and development of Environmental Social Management Framework (ESMF) (2.5.2):** This sub-component will support the following activities among others: National validation workshop on the SESA Terms of Reference; Recruitment of a consultant(s)/firm to conduct SESA; Analytical work on social and environmental considerations on D&D and strategy options and the institution arrangement for SESA; Institutional legal and policy review; Consultations on SESA; and Preparation of a draft Environmental and Social Management Framework (ESMF).

### 3. Key Risks and Issues

63. Please refer to the Operational Risk Assessment Framework (ORAF) annex below for a more detailed presentation of risks and mitigation activities. Key risks are linked to:

64. **Stakeholders.** REDD+ is a mechanism still under discussion internationally and has attracted much attention from various groups of stakeholders. While there is widespread support for the establishment of an international REDD+ mechanism that would reward countries for reducing emissions from deforestation and forest degradation, various concerns have been raised about how a REDD+ mechanism would work at the country level. Such concerns represent a risk of eroding support for the Readiness process in Côte d'Ivoire. The government, through its management of the consultation process, could also limit the inclusive participatory approach recommended by REDD+ principles. Stakeholders' unrealistic expectations of receipt of large near-term payments for REDD+ are not high (in comparison to other countries in the region) but this risk may increase with more intensive stakeholder consultations as well as other REDD-type activities being implemented in the country.

65. *Mitigation measures* include: (i) sufficient financial resources will be made available to ensure inclusive participation and the project team will maintain close communication with national and international NGOs (both at the country level and internationally, with support from the FCPF Management Team) and support the PES's close collaboration with local stakeholders (through component 1C); (ii) conducting a SESA, which will identify social and environmental risks arising from the national REDD+ Strategy, and which should also support the identification of mechanisms to ensure transparent benefit sharing; (iii) the project team will be vigilant in managing expectations throughout project implementation; (iv) regular meetings in coordination with other donors, the PES and with the relevant ministries will be organized to resolve any conflict that could occur.

66. **Governance.** The underlying causes, impacts and the process of recovery from the politico-military crisis of 2002-2010 represent a significant challenge to REDD+ in Côte d'Ivoire. A national REDD+ system will need to involve different levels of Government and various stakeholders. REDD+ revenues need to reach beneficiaries on the ground, mainly local communities. Recent government decrees and related reforms (planned or enacted) provide a legal and institutional framework for the implementation of REDD+. However, clear rules for carbon transactions, for benefit sharing schemes and regulations on the management of REDD+ funds are not yet in place.

67. *Mitigation measures* include: i) providing support to the Government in creating clear rules for carbon transactions and in strengthening the capacity to implement those; ii) supporting the development of options for benefit sharing of REDD+ revenues; iii) supporting

the functioning of the National REDD+ Committee and the National Steering Committee; iv) ensure permanent communication with stakeholder on all potential controversial issues.

68. **Fraud and Corruption.** Corruption in Côte d'Ivoire is endemic across sectors. Mismanagement of REDD+ funds is a risk for a national REDD+ system, which could lead the process to fail.

69. *Mitigation measures* include: i) recruitment of a strong fiduciary team (Financial and Procurement management composed of 2 staff and 1 consultant) who will work closely with the WB fiduciary team; (ii) carry out regular audits; (iii) disclose regularly any case of mismanagement; (iv) work closely with other donors; (v) support civil society organizations to closely follow the REDD+ process, including funds management; and (vi) results of a study financed by UNDP under the UN-REDD Programme will examine corruption and risks across all sectors involved in and affected by the implementation of a National REDD+ Strategy and identify means to reduce these risks.

70. **Sector/multi-sector coordination.** The innovative nature of REDD+ means that strong multi-sectoral coordination is necessary to address the trade-offs between sectoral developments and REDD. There is a risk that there will be insufficient inter-ministerial and inter-agency coordination for REDD+. Cooperation and coordination of MINESUDD (as well as SODEFOR and Ivory Coast Office of Parks and Reserves, OIPR) and the Ministry of Water Resources and Forests (MINEF) may be insufficient to secure the participation of the sectors.

71. *Mitigation measures:* The National REDD+ Committee will bring together all relevant Ministries, and will function as a coordination body for inter-sectoral activities.

72. **Safeguards.** REDD+ implementation presents social and environmental risks. Policies that promote conservation without due regard to local population's rights to natural resources may lead to restrictions to sources of livelihood. The promotion of monoculture planting without due regard to environmental variables may lead to negative impacts on soils and water. These are examples of issues to be taken into account in the preparation of the National REDD+ Strategy. Current in-country capacity for addressing safeguards is limited, and therefore there is a risk that not all social and environmental issues might be properly addressed.

73. *Mitigation measures* include: i) conduct a Strategic Environmental and Social Assessment (SESA) to identify social and environmental risks and potential impacts (both

negative and positive) from the national REDD+ strategy, and ensure that these risks are considered in the final strategy; ii) close supervision of the preparation of the SESA, including technical assistance to the Government team; iii) continued capacity building on SESA for national stakeholders.

74. **Sustainability.** The current projected budget for Côte d'Ivoire's R-PP totals US\$ 22.2 million. The FCPF is providing US\$ 3.8 million. US\$5.4 million has been secured or pledged from other donors. While the exact contribution from the government is currently undetermined, and the government has identified activities to be financed up to US\$ 22.2 million, this gap is fictional and is made up of proposed activities that are additional to the essential components to ready a country for REDD+, including but not limited to: complementary studies related to the development of a National REDD+ Strategy, and Pilot Activities which the Readiness Fund is not designed to finance. Thus, this is not a threat to the FCPF Grant meeting its objectives. Additionally, there is the possibility of FCPF additional funding (\$5 million), additional financing through the BioCF's Initiative for Sustainable Forest Landscapes (ISFL), as well as leveraging other potential sources of financing to be explored (Figure 1).

75. *Mitigation measures.* (i) The FCPF will finance priority activities to allow the REDD+ readiness process to move forward; (ii) the WB will use its convening power to support the country in leveraging additional resources from other donors where necessary (coordination will be ensured through joint supervision missions; intense communication between the donor programs; use of the R-PP by the two programs – FCPF and UN-REDD - as the overall document providing guidance for support to the national REDD+ readiness process; having the same interlocutor at the government level (the PES)); and (iii) during project implementation, the team will support the country in identifying sources of financing to ensure continuation of the process once FCPF support comes to an end. The table in annex 6 below shows the potential sponsors of the R-PP.

#### D. Implementing Agency Assessment

76. The Ministry of Environment, Urban Sanitation and Sustainable Development (MINESUDD) will implement the grant activities. A National REDD+ Coordinator was designated by the Minister and, as head of the Permanent Executive Secretariat (PES) of the National

REDD+ Committee, currently leads the day to day activities related to the REDD+ Process in the country. The PES is progressively being staffed up. The FCPF Grant will support the strengthening of PES capacity by financing the recruitment of key positions, equipment and vehicles. The figure below presents the PES composition and organization (Figure 2). Other donors will also finance the strengthening of this coordination unit. As such, it will have the technical competencies to lead the REDD+ Readiness process in general and the FCPF grant in particular. In the future, it is expected that the PES would be fully integrated into the organization chart of the MINESUDD and its functioning (including budget) would be ensured by the national Government.

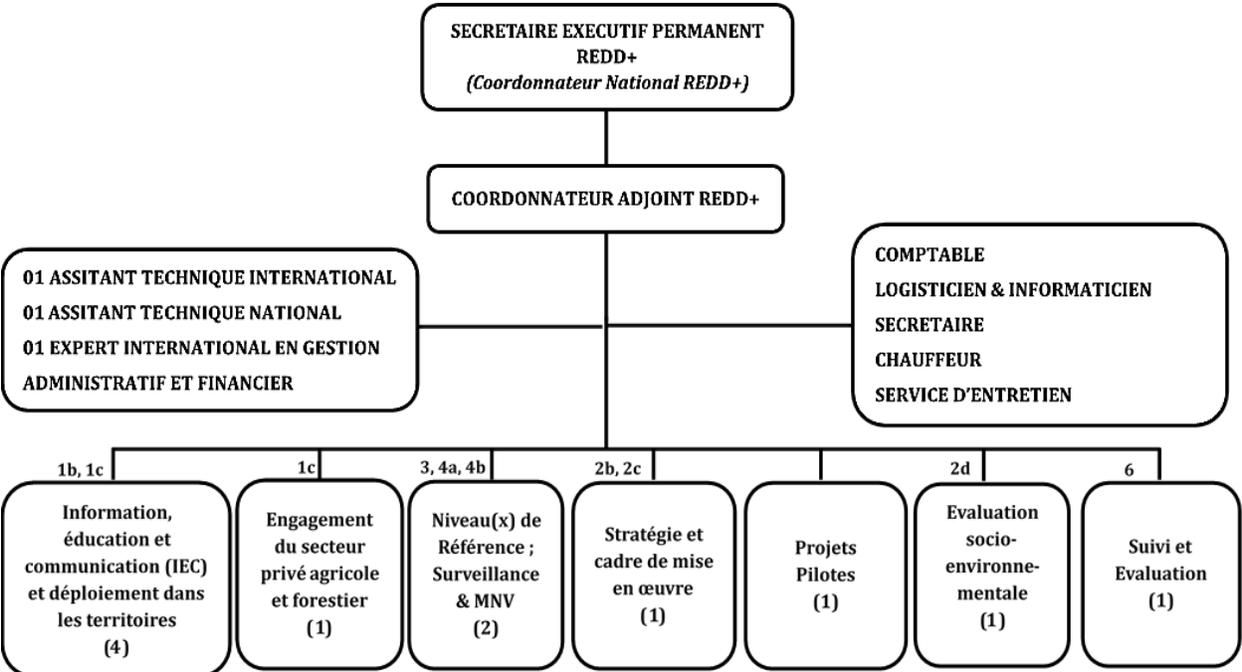


Figure 3. PES composition and organigram. The National REDD+ Coordinator reports directly to MINESUDD.

77. Grant fiduciary management will be ensured through the use of country systems. The project will be implemented using a phased approach with the ultimate goal of creating capacity within the finance unit of MINESUDD to implement Bank projects. Before implementation, however, it is critical that project fiduciary team meet the requirements of, and that its capacities are satisfactory to the Bank.

78. Initially, one accountant, one procurement officer, and a consultant responsible for drafting the project manual on financial management will be recruited by the Project Implementation Unit (PIU) of the Ivory Coast Protected Area Project (PARC-CI) (P111290) according to Bank procedures. The accountant and the procurement officer will initially report directly to the REDD+ PES. Once the Integrated Programme Fiduciary Management Unit (IPFMU) of the MINESUDD has been created and operationalized, the fiduciary team of the REDD+ PES will be transferred to this Unit and report directly to the Finance Director of IPFMU.

79. The accountant and the procurement officer of the REDD+ PES will remain the Bank's main counterpart and focal point for fiduciary aspects during the project's lifetime and will work directly with the PES. Thereafter, when the IPFMU is operationalized, its dedicated fiduciary staff will oversee the entire fiduciary management of the FCPF grant, Bank-financed projects and other Development Partners-funded projects in the sector (at the MINESUDD) including management of the funds and the designated account and will primarily be responsible for: (i) planning and budgeting; (ii) accounting; (iii) disbursement; (iv) procurement; (v) financial reporting; and (vi) internal and external auditing.

80. These staff will also take on the financial management of upcoming World Bank projects carried out by MINESUDD as the need arises, including GEPPPOP<sup>4</sup> among others.

#### E. Project Stakeholder Assessment

81. During R-PP implementation, stakeholders shall continue to participate and provide inputs into Côte d'Ivoire's REDD+ Strategy. The government of Côte d'Ivoire has acknowledged the important role relevant stakeholders must play in ensuring the effective delivery of REDD+ readiness in an inclusive and participatory manner. The R-PP formulation process emphasized multi-stakeholder consultation and participation that aimed at sensitizing various stakeholders and promoting understanding of REDD+ and its concepts through the existing FLEGT Civil Society Platform. The views of the key stakeholders, especially forest-dependent communities and national level CSOs engaged in natural resource management and environmental governance are of critical importance for the effectiveness of the REDD+ readiness process.

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<sup>4</sup> Cote d'Ivoire Persistent Organic Pollutants (POPs) Pesticides Management Project (P131778).

Additionally, the private sector in agriculture are key partners which should be involved in REDD+ planning.

### III. Overall Risk Ratings

82. The overall risk rating for the project is Substantial.

83. The REDD+ Readiness process presents a high level of risk, as it depends directly on a series of institutional changes and improved governance. A successful REDD+ mechanism involves important changes to the existing institutional framework and touches sensitive issues, such as land tenure rights and revenue distribution across relevant stakeholders. In addition, the program has high visibility internationally, due to the high stakes of REDD+ for various stakeholders including vulnerable forest-dependent communities. Stakeholder expectations related to benefiting from carbon revenues could increase, and may become unrealistic for as long as the payment structure is not in place. There is an additional risk posed by parallel financing on the part of the various delivery partners mentioned in Section 1 which could jeopardize the process if not implemented in a satisfactory manner; this could also further influence the engagement of critical stakeholders in the development of a coherent National REDD+ Strategy.

### V. Proposed Team Composition and Resources, including Technical Assistance Provided by Bank Staff to Date

| Name                  | Title                                   | Unit  |
|-----------------------|---|-------|
| Laurent Valiergue     | Sr. Forestry Specialist                 | GENDR |
| Gillian Cerbu         | Natural Resources Management Specialist | GENDR |
| Kishor Uprety         | Legal Counsel                           | LEGAM |
| Maurice Adoni         | Sr. Procurement Specialist              | GGODR |
| Lambert Kouassi       | Procurement Specialist                  | GGODR |
| Jean Charles Amon Kra | Financial Management Specialist         | GGODR |

## **VI. Assessment Summary**

### **A. Technical**

84. The activities to be financed by the FCPF have been selected after technical discussions with the CN-REDD (MINESUDD), while taking into account other ongoing initiatives supported by the donor community. The World Bank team will ensure the sharing of emerging lessons learned from other countries going through the Readiness process, particularly from more advanced countries in neighboring regions. The FCPF grant will finance REDD+ strategy options, support to the national readiness management arrangements, SESA, and the establishment of effective grievance feedback and redress mechanisms. The FCPF will further finance stakeholder engagement, some aspects of consultation and participation, as well as help support and strengthen national and sub-national structures.

85. The competency conflict between MINESUDD and MINEF (+SODEFOR) is a possible hurdle which could hinder the successful implementation of the REDD+ Readiness process in Côte d'Ivoire. For this reason, FCPF activities will also seek to strengthen the technical expertise of the REDD+ PES and associated staff at MINEF and SODEFOR to ensure both organizations' leadership and contributions to the REDD+ agenda.

### **B. Financial Management**

86. A financial management capacity assessment has been conducted in line with the Financial Management Practice Manual for World Bank-Financed Investment Operations that became effective on March 1, 2010. The objective of the assessment was to determine whether the implementing entity have acceptable financial management arrangements, which will ensure: (i) the funds are used only for the intended purposes in an efficient and economical way, (ii) the preparation of accurate and timely periodic financial reports, and (iii) safeguard the entities' assets.

87. The findings of the FM capacity assessment of the Technical Secretariat of the MINEPDED conducted during the preparation of the REDD+ Readiness Preparation Support revealed some capacity shortages in the fields of financial management and human resources. The FM weaknesses of the Technical Secretariat of the MINEPDED include: (i) insufficiently qualified staff in financial management; (ii) staff's insufficient familiarity with the Bank and other donors financed-project procedures for reporting, disbursement arrangements, and

auditing; (iii) lack of a proper accounting system in place to record and prepare financial reports; (iv) lack of computerized and modern accounting tools; and (iv) weak internal control systems.

88. In order to ensure a quick start to project activities following Grant signature, the project will be implemented using a phased approach with the ultimate goal of creating capacity within the finance unit of MINESUDD to implement Bank projects. The Project Implementation Unit (PIU) of the Ivory Coast Protected Area Project (PARC-CI) (P111290) will provide support to the REDD+ PES team to (i) recruit one accountant and one procurement officer; and (ii) select a consultant responsible for drafting the project manual on financial management, in accordance with Bank procedures. These consultants will be assigned to the REDD+ PES team managing this project. The accountant and the procurement officer will report to the Coordinator of the REDD+ PES. Thereafter, once the Integrated Programme Fiduciary Management Unit (IPFMU) is created and operationalized, experienced and qualified FM and procurement specialists will be recruited on a competitive basis under terms of reference acceptable to IDA to handle the fiduciary aspects of FCPF, the WB and other donor-financed projects in the sector at the MINESUDD. The accountant and the procurement officer of the REDD+ PES will be transferred to the IPFMU and report to the Finance Director of the IPFMU. The capacity of the IPFMU will be assessed on due time by the Bank FM Specialists prior to the transfer of the fiduciary aspects of the PCPF to this Unit.

89. Once appointed and once the PES is fully operational, the dedicated accountant will be the Bank's main counterpart and focal point for FM aspects over the course of the project. The accountant will oversee the entire FM of the REDD+ Readiness Preparation Support including management of the funds and the designated account and the project account. He will primarily be responsible for: (i) handling planning, budgeting and accounting; (ii) disbursement; (ii) financial reporting; and (iii) internal and external auditing.

90. The use of the identified World Bank financed FM team at MINESUDD to manage the financial management aspects will enable the establishment of a financial fiduciary management system for REDD+ that satisfies the Bank's minimum requirements under OP/BP 10.02. The key FM actions for the implementation of the REDD+ are (i) the configuration and utilization of accounting software; (ii) the selection of a dedicated accountant for the REDD+ PES; (iii) the drafting of the FM and administrative (including procurement procedures) manual and; (iii) selection of an independent external auditor. The Republic of Côte d'Ivoire would be

required, under the Grant Agreement, to complete the selection of the accountant and the drafting of the FM and administrative (including procurement procedures) manual by the effectiveness of the Grant Agreement. The remaining actions will be completed within 2 to 6 months after the project's effectiveness date.

91. **The overall FM risk for the project is substantial.**

92. **Financial Management Supervision.** In accordance with the risk-based approach, FM supervision will vary according to the level of risk and will aim to ensure that the funds are used for the intended purpose and provide support when need be. On the basis of the current FM risk level, it is expected that two annual supervision missions will be carried out during the first year to support the project implementation, shifting to one annual supervision mission when appropriate. These supervision efforts will comprise IFR, annual audit reports and on-site reviews, and will be complemented by continued assistance to be provided by the Bank team.

93. **Disbursements.** The grant will finance 100% of eligible expenditures inclusive of taxes. The grant proceeds can be withdrawn using three disbursement methods (Advance, Reimbursement and Direct Payment). A designated account will be open at the central bank (BCEAO) in francs CFA. Upon grant effectiveness, an initial advance up to a ceiling of XOF 195,000,000 (USD 400,000) will be made to the designated account and subsequent advances will be made upon reporting on the use of the initial advance. Applications for withdrawal will be supported with Statements of Expenditures (or records documenting the eligible expenditures) during the first eighteen months of implementation.

94. Thereafter, the project will be evaluated for conversion to report-based disbursements using quarterly Interim Financial Reports subject to the project maintaining satisfactory FM and Disbursement performance over that period.

95. **Electronic delivery of applications.** The project will submit applications using the electronic delivery tool, "e-Disbursements", available at the Bank's Client Connection website. The Authorized Signatory Letter signed by the government will include authorization for the designated signatories to receive the electronic authentication devices ("Tokens") from the World Bank.

**Disbursement table:**

| Category  | Amount of the Preparation Installment Allocated<br><u>(expressed in USD)</u> | Percentage of Expenditures to be <u>Financed</u> |
|---|--|--|
| (1) Consultants' Services, including audits, Goods, Workshops, Training and Operating Costs | 3,800,000  | 100%   |

C. Procurement

96. The procurement capacity of MINESUDD's staff supporting the PES will be assessed by the Senior Procurement Specialist on a continuous basis through frequent visits to the Unit. Procurement capacity of the MINESUDD will also be strengthened through specialized technical assistance and training as needed.

97. *Procurement Supervision.* As the overall project risk implementation for procurement is substantial due to the Country context and the moderately satisfactory procurement capacity of the implementing agency, the following risk mitigating measure will be applied:

D. Social and Environmental (including Consultation, Participation, Disclosure and Safeguards)

98. **Moving forward, the implementation of activities during REDD+ readiness must comply with World Bank safeguard policies regarding the management of environmental and social impacts.** This grant will, in part, support the country's efforts to identify the risks associated with REDD+ and associated mitigation options. In order to do this, the FCPF is using a Strategic Environmental and Social Assessment (SESA) to integrate key environmental and social considerations into REDD+ Readiness by combining analytical and participatory approaches. The SESA allows: (i) social and environmental considerations to be integrated into the REDD+ Readiness process, in particular the REDD+ strategy; (ii) stakeholder participation in identifying and prioritizing key issues, assessment of policy, institutional and capacity gaps to manage these priorities and recommendations, and disclosure of findings in country progress

reports on Readiness preparation; and (iii) the preparation of an Environmental and Social Management Framework (ESMF) that incorporates the elements corresponding to the applicable safeguard policies. The SESA has been identified as the most appropriate instrument to ensure the proper consideration of social dimensions in the REDD+ process, in line with international best practices and World Bank policies.

99. **FCPF financing will support Côte d'Ivoire's establishment of an ESMF for REDD+ operations.** Two staff members specifically focused on SESA will be part of the REDD+ Permanent Executive Secretariat and will lead the process.

### 1. Social (including Safeguards)

100. **The social dimensions of REDD+ in Côte d'Ivoire include a number of complex and conflicting issues around natural resources access and management as a result of difficulties and conflicts related to land tenure.** Policies to reduce deforestation and forest degradation that lead to more stringent conservation without clearly promoting alternatives to forest-dependent communities may lead to a loss of livelihood sources. Adding value to standing forests through REDD+ may lead to new pressures on forest lands and add to tensions between communities and migrants from other provinces and neighboring countries (notably Burkina Faso). There is a risk that land and use rights to forest resources within and across all of these community groups will be jeopardized. Sharing the benefits of REDD+ will face risks of elite capture, corruption, and lack of transparency.

101. **Potentially complicating the development of a national REDD+ strategy and options are issues in the country related to identity and citizenship.** The concept of "*Ivoirité*" or who is Ivorian has often been used to support political objectives and the capture of power and has had very detrimental effects on social cohesion. Discrimination and competition between "*autochtones*<sup>5</sup>", (original inhabitants, or natives), "*alloctones*" (Ivorians from another community or region), and "*allogenes*" (foreigners from another country—most notably from Burkina Faso) manifested itself in many aspects of social life and again peaked during the 2010 post-electoral crisis. This situation is particularly serious in the West of the country, where the

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<sup>5</sup> The Ivorian appellation "*Autochtones*" does not refer to Indigenous Peoples, but to Ivorians born locally. There are no Indigenous Peoples in Cote d'Ivoire.

issues involving “*autochtones*” and “*foreigners*” are creating tensions exacerbated by disputes over land, power politics, and an extremely divided media that has a history of being manipulated by politicians. The crisis has mostly affected the West in terms of material damages, human suffering, and displacement. It remains the most unstable region in the country, given the gravity of identity politics and the depth of ethnic fragmentation.

**102. The issue around the question of citizenship adds an extra layer of complexity to issues around access to social benefits, justice, political participation, education and land title.** Prior to the 2010 presidential elections, citizenship status was confirmed by an electoral list determining who was eligible to vote. The criteria for citizenship are now clearly defined, providing the legal foundation for establishing Ivorian identity. Nonetheless, a large proportion of the population does not have identity papers, and often newborn children are not automatically registered. The 2010 post-electoral crisis aggravated this situation; people displaced by fighting often lost their identity papers without which it is difficult to prove citizenship. Forced displacement in Côte d’Ivoire is very much associated with the dispute over who is “Ivorian” and who is entitled to citizenship, the right to hold public office, and own land.

**103. Land issues and associated tenure arrangements will play a major role in any REDD+ strategy and currently are a key source of conflict and fragility in Côte d’Ivoire.** Insecure access to land exacerbates divisions between groups and is at the root of the vast majority of local conflicts. Tensions over land have been politicized; as they are used to feed anti-northerner sentiments, evoking the question of citizenship and the rhetoric of *Ivoirité*. In past decades, several factors have gradually worsened land-related conflicts. Climatic disparities within Côte d’Ivoire and neighboring countries have negatively affected agricultural production, while economic pressures have led to widespread migration toward rural areas in southern and central parts of Côte d’Ivoire. Migrants have worked principally as daily laborers, whereas others have traditionally purchased or leased land, particularly in coffee and cocoa production areas. The limitations of customary land tenure arrangements, the absence of a clear land law until 1998, and the contested and barely implemented rural land law that followed have not effectively managed the increased pressure on land. The 2010–2011 crisis, which led to significant displacement and loss of land ownership documents also involved large-scale dispossession which further exacerbated conflict in this context.

**104. Deficit in youth integration and the syndrome of the lost generation: Côte d’Ivoire’s population is very young and increasingly concentrated in urban areas.** About 50 percent of the country’s total population of 21 million is younger than 15 years; those aged 15 to 39

represent another 40 percent of the total population. There has been practically no progress in gross primary school enrollment since 1990.<sup>6</sup> For the past 10 years, education has been of very low quality, particularly in the North. Nonetheless, the young people mobilized in Côte d'Ivoire are not a homogenous group, and it has been argued that the most violent elements of politically active youth are also the best educated.<sup>7</sup> Some of the disenfranchised youth have proven useful to the crisis' main actors, easily mobilized and manipulated for their political gain. They have been enrolled in various fighting forces, trained and armed as paramilitary groups, or organized into political resistance groups and self-defense committees ("young patriots") that intimidate opponents and man roadside checkpoints.<sup>8</sup> On both sides of the conflict, young people have used war as a source of upward mobility and as a way to deal with an intergenerational struggle.

**105. The decade-long division of the country and the past regime's policy of arming students and citizens created a fractured security sector and led to the militarization of society.** The combination of a legacy of identity politics, land conflicts, and high youth unemployment have been important factors explaining the lack of inclusiveness of growth and sharp geographical disparities between North and South and between urban and rural centers. These issues have been in place for a long time, but a worsened economic environment since 2000, in particular as a result of a decline of prices for Côte d'Ivoire's main export commodities, exposed these sources of fragility and laid the ground for the long period of political and economic instability since 1999.

**106. Although levels of violence have dropped significantly following the end of the electoral crisis in April 2011, serious threats to security continue in some regions.** These trends are exacerbated by deep distrust of the security services and a legacy of violence and pose serious challenges to social cohesion: strong perceptions of fear and insecurity continue to inhibit normalization of social relations, regardless of whether the situation has in reality improved.

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<sup>6</sup> World Bank, "Emergency Youth Employment and Skills Development Project." Emergency Project Paper. Washington, DC: World Bank, 2012.

<sup>7</sup> Mike McGovern, *Making War in Côte d'Ivoire*. Chicago, IL: University of Chicago Press, 2011, p. 112.

<sup>8</sup> World Bank, "Côte d'Ivoire—The Growth Agenda: Building on Natural Resources and Exports." Washington, DC: World Bank, 2012.

107. **The SESA will include an ESMF and other safeguards instruments as a distinct output, which provides a framework for managing and mitigating social and environmental risks associated with REDD+ investments and transactions.** The development of the ESMF will ensure compliance of proposed REDD+ activities with Bank Safeguard policies - most notably on social safeguards related to OP 4.12 on Involuntary Resettlement. This ESMF will pay particular attention to the 'Do No Harm' and "Do Good" principles in safeguards policies related to the restriction of access or use of resources or resettlement (OP 4.12). The framework will identify ways to maximize benefits with regard to social, cultural and economic well-being of forest dependent local communities as well as other vulnerable and marginalized groups within these populations, notably migrants, youth and women; and prevent or mitigate any negative impacts on the forest biodiversity and wider ecosystem. The ESMF will also pay particular attention to integrating the gender dimension of REDD+ in ensuring that any social mitigation actions will have gender differential positive impacts.

## **2. Environmental (including Safeguards)**

108. **No significant negative environmental impacts are expected from this project as its intention is to promote sound natural resources management and improve floral and faunal biodiversity.** The project will lead to significant positive impacts through increased tree cover and reduced deforestation and forest degradation. However it is recognized that despite this virtuous intention it is necessary for the sake of the environmental integrity of the project to follow a structured assessment process to ensure that no activities will have unintended consequences on the environment.

109. **The Grant will fund the preparation of a Strategic Environmental and Social Assessment (SESA) to ensure that the design of the REDD+ process adhere to the requirements of World Bank safeguard policies.** In particular, the SESA will (i) develop an Environmental and Social Management Framework (ESMF), which will take into account the requirements of the Bank's policies on Environmental Assessment (OP 4.01), Natural Habitats (OP 4.04), OP 4.11 on Physical Cultural Resources, and Forests (OP 4.36); (iii) include a Resettlement Policy Framework (RPF), and Process Framework (PF) to identify and mitigate any possible restriction of access to newly designated protected areas.

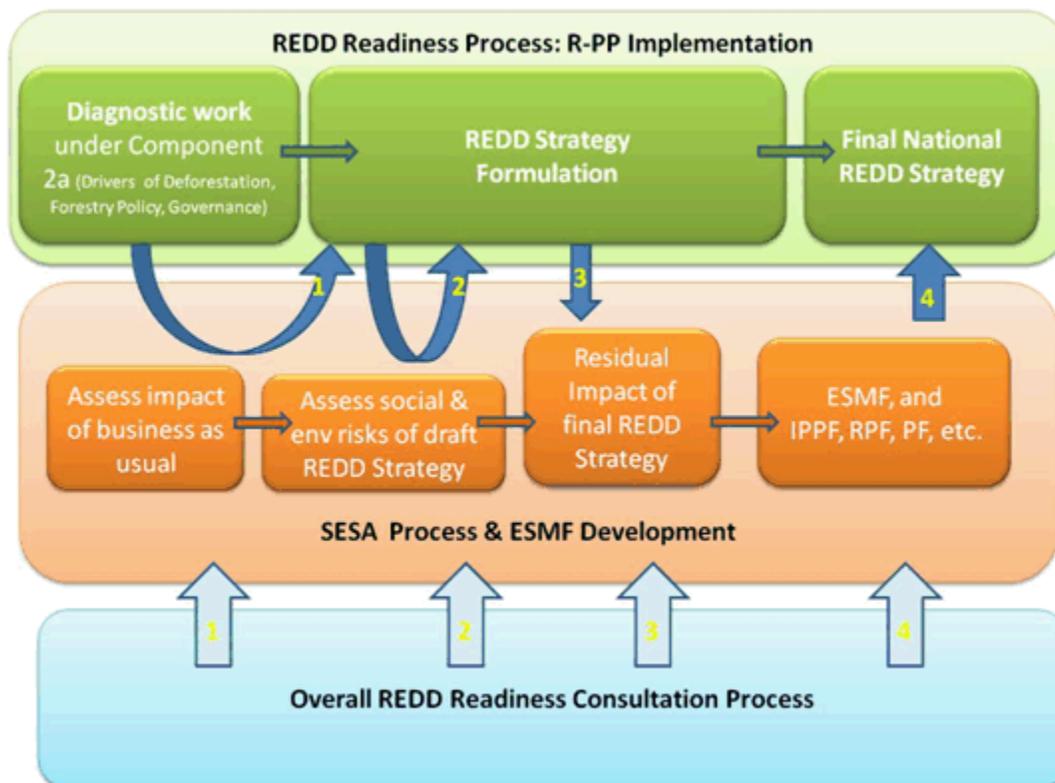


Figure 4. The SESA design process and link to other REDD+ Readiness activities

## Consultation, Participation and Disclosure

### a) *Experience to Date*

110. The R-PP preparation process in Côte d'Ivoire has been participatory, with a series of consultation activities, including national and cross-ministerial department-level workshops, civil society platform consultations, focus groups discussions, dissemination of communication material and outreach to national media. Key stakeholders consulted include national, departmental and local forest and environmental administrations, local and international NGOs, local community groups, human rights groups, womens' rights groups, youth groups, traditional Chiefs and the private sector. Civil society and forest-dependent communities have been specifically targeted during various activities.

111. **The Permanent Executive Secretariat has been working closely with the Platform of Civil Society Organizations (working on FLEGT) in Côte d'Ivoire with the technical support of UNREDD and the FCPF.** This platform brings together various CSO groups in Côte d'Ivoire working on land use-related issues, including forest management (VPA-FLEGT process, certification, etc.), rural development, agriculture, and gender. The Platform led a series of Regional-level consultations on the R-PP, to collect feedback on the document and report nationally, before the national validation of the document was submitted by the government to the FCPF.

112. **These consultations allowed the National REDD+ Coordination to identify the main issues, concerns about and suggestions for REDD+ generally, and on the R-PP specifically.** These issues have been considered in the final R-PP, including the requests for increasing civil society representation in the National REDD+ Committee, targeted support aimed at women, and a better description of the drivers of deforestation and forest degradation in the country.

113. **Future CSO involvement will include general and issue-specific workshops in the capital and in the provinces, capacity building, dissemination of communication material to different audiences, and organization of target groups on technical points, among other issues.** Synergies are to be sought with other ongoing initiatives that promote multi-stakeholder consultations around forests, particularly the FLEGT process.

#### ***b) Proposal Going Forward***

114. **The R-PP includes a Consultation and Participation Plan which is a participatory mechanism to ensure involvement of forest communities in consultation processes.** It was agreed that the "Free, Prior and Informed Consent" (FPIC) tools will be developed (with the support of the UNREDD Programme). The FCPF Grant will be used in conjunction with this to involve key stakeholders through the FLEGT Civil Society Platform. Activities to be funded and implemented includes, gap analysis of the stakeholders to be targeted for the Consultation and Participation Plan; strengthen and enhancing the capacities of identified structures to be used to enhance participation and stakeholder engagement; the development of communication material/tools identified in the communication plan; as well as consultations on specific activities to be implemented using FCPF resources. The content of the consultations will include: drivers and underlying causes of deforestation and forest degradation; REDD+ strategy

options; social and environmental impacts/SESA; reference levels; benefit sharing options, feedback grievance and redress mechanisms.

115. **Feedback Grievance and Redress Mechanisms:** Côte d'Ivoire will put in place an effective and efficient feedback grievance and redress mechanism to help manage and resolve conflict as they arise (refer to component 2.3).

### 3. Safeguards Policies Triggered

116. **The FCPF readiness preparation grant must comply with World Bank safeguard policies regarding the management of environmental and social impacts.** The readiness preparation phase is meant primarily for technical assistance and capacity building activities. The grant will not finance any implementation of REDD+ activities on the ground (investments, pilot activities).

117. **The main safeguard instrument to be applied is the SESA.** The SESA addresses the key environmental and social issues associated with the preparation of REDD+ strategy options as well as REDD+ projects, activities (including investments), policies and regulations. In this manner SESA can ensure compliance with World Bank's environmental and social policies.

118. **The SESA process requires that the selection of REDD+ strategy options should take into account the country's institutional and capacity constraints for managing environmental and social risks, as well as the potential environmental and social impacts associated with these strategy options.** Any identified gaps to manage these risks and potential impacts in relation to applicable World Bank safeguard policies should be identified along with the strategy options to feed into the preparation of the ESMF. The ESMF may evolve and be updated over time when new REDD+ strategy options, projects or activities (including investments) and/or policies or regulations are identified during the implementation of REDD+. The ESMF should provide a framework to manage and mitigate the potential environmental and social impacts related to specific projects and activities (including investments and carbon finance transactions, in the context of the future implementation of REDD+).

The project falls under safeguards category B.

| <b>Safeguard Policies Triggered</b>   | <b>Yes</b> | <b>No</b> | <b>TBD</b> |
|---|------------|-----------|------------|
| <b>Environmental Assessment (OP/BP 4.01)</b>  | <b>X</b>   |           |            |
| The Strategic Environmental and Social Assessment (SESA) to be carried out under the project will serve to identify, avoid, mitigate and compensate the potential negative environmental and social impacts associated with future activities to be supported by the final REDD+ strategy by providing guidance and key elements for the preparation of an Environmental and Social Management Framework (ESMF). The SESA will also influence the final national REDD+ strategy, by ensuring that social and environmental risks are factors in the preparation of the strategy.  |            |           |            |
| <b>Natural Habitats (OP/BP 4.04)</b>  | <b>X</b>   |           |            |
| The application of this policy seeks to ensure that all options proposed in the National REDD+ Strategy take into account the conservation of biodiversity, as well as the numerous environmental services and products that natural habitats provide to human society. Overall, REDD+ activities are expected to have significant positive impacts on natural habitats, as the country puts in place an effective strategy to reduce loss of natural forests. The SESA will address issues related to natural habitats and potential impacts of the National REDD+ Strategy, which will later be included in the ESMF. |            |           |            |
| <b>Forests (OP/BP 4.36)</b>   | <b>X</b>   |           |            |
| Overall, REDD+ activities are expected to have significant positive impacts on forest, in that the main goal of the program is to reduce deforestation and forest degradation, while contributing to the well-being of forest-dependent communities. Potential impact of the National REDD+ Strategy on natural forests will be assessed through the SESA and included in the ESMF. The SESA and associated ESMF will reflect the requirements of the Bank's Operational Policy regarding forest management, in particular as these relate to the establishment of plantations.   |            |           |            |
| <b>Pest Management (OP 4.09)</b>  | <b>X</b>   |           |            |
| Agricultural intensification and reforestation activities, among others, are REDD+ activities which could require pest management in the course of project implementation. The SESA will address critical issues related to pest management, as necessary, and these will also be included in the key elements of the ESMF, as well as in a specific plan related to pests and pesticides management.   |            |           |            |
| <b>Physical Cultural Resources (OP/BP 4.11)</b>   | <b>X</b>   |           |            |
| REDD+ activities are likely to be implemented in areas containing sites deemed physical cultural resources by rural communities living there (e.g. holy/secret sites such as sacred groves, sacred forests, etc.). Though it is not anticipated that the project will have negative impacts on any such sites, the SESA will address issues related to a chance find of physical cultural resources and potential impacts of the National REDD+ Strategy, which will later be included in the ESMF and a specific dedicated framework.  |            |           |            |

| <b>Safeguard Policies Triggered</b>   | <b>Yes</b> | <b>No</b> | <b>TBD</b> |
|---|------------|-----------|------------|
| <b>Indigenous Peoples (OP/BP 4.10)</b>  |            | <b>X</b>  |            |
| The country has over sixty ethnic groups <sup>9</sup> , whose linguistic and cultural identities and interrelationships are diverse and complex, but does not host Indigenous Peoples. The SESA will, however, take into account the interests of all relevant stakeholders, in particular, vulnerable populations, consult with them adequately, ensure that they participate in, and benefit from REDD+ activities.   |            |           |            |
| <b>Involuntary Resettlement (OP/BP 4.12)</b>  | <b>X</b>   |           |            |
| REDD+ activities will trigger Involuntary Resettlement in situations involving involuntary restrictions of access to legally designated parks, protected areas, or forest management / reforestation areas. The policy aims to avoid involuntary resettlement to the extent feasible, or to minimize and mitigate its adverse social and economic impacts in cases where resettlement or other involuntary restrictions cannot be avoided. Through the SESA process, any issues related to land acquisition or involuntary resettlement will be identified, and a Resettlement Policy Framework will be prepared. In terms of restriction to natural resources, a Process Framework will be prepared as well. |            |           |            |
| <b>Safety of Dams (OP/BP 4.37)</b>  |            | <b>X</b>  |            |
| <b>Projects on International Waterways (OP/BP 7.50)</b>   |            |           |            |
|   |            | <b>X</b>  |            |
| <b>Projects in Disputed Areas (OP/BP 7.60)</b>  |            |           |            |
|   |            | <b>X</b>  |            |
|   |            |           |            |

<sup>9</sup> The five main cultural clusters are: the dominant Akan-speakers, who make up 42 percent of the population, mainly in the center, east and south-east; Northern Manding (Mandé), mainly in the north-west; Voltaic peoples, including Senoufo in the north and Lobi in the central region; Krou in the south-west; and Southern Manding (Mandé) in the west. Around 28 percent of the population of Côte d'Ivoire consists of migrants from elsewhere in Africa; the largest number of these come from Burkina Faso, while others are from Mali, Ghana, Guinea, Nigeria, Benin, Liberia, Senegal and Mauritania.

## **VII. ANNEXES**

**Annex I: Operational Risk Assessment Framework (ORAF)**

**Annex II: December 12-15, 2013 - Geneva, Switzerland - Resolution PC/16/2013/4**

**Annex III: R-PP Submitted by the Republic of Côte d'Ivoire**

**Annex IV: FCPF-Funded Staff Breakdown**

**Annex V: Procurement Plan**

**Annex VI: Terms of Reference for the Strategic Environmental and Social Assessment for Reducing Emissions from Deforestation and forest Degradation (REDD+) in Côte d'Ivoire**

## Annex I: Operational Risk Assessment Framework (ORAF)

Côte d’Ivoire  
REDD+ READINESS PREPARATION SUPPORT

FROM THE FOREST CARBON PARTNERSHIP FACILITY

| 1. Project Stakeholder Risks  | Rating: High   |                   |                   |                |
|---|--|-------------------|-------------------|----------------|
| <p>Some stakeholders/interest groups may oppose progress in the establishment of a national REDD+ strategy, leading to delays in project implementation.</p> <p>Although currently low, there could be a future mismatch between stakeholder expectations related to future payments for carbon or ecosystem services and the uncertainty around whether or not these payments will materialize, and their size. Frustrations might therefore grow in the medium to long-term.</p> <p>Elite capture of benefits and corruption are common practice in Côte d’Ivoire.</p> <p>Although they have already participated in planning meetings together during the RPP drafting process, due to the rivalry of competences between MINEF, MINESUDD as well as SODEFOR</p> | <p><b>Risk Management:</b> SESA will identify social and environmental risks arising from the national REDD+ Strategy. Through support for the FLEGT Civil Society Platform’s integration into the REDD+ process, the grant will also support the UNREDD’s implementation of a communication plan to create more awareness on REDD+.</p> |                   |                   |                |
|   | <b>Resp:</b>   | <b>Stage:</b>     | <b>Due Date :</b> | <b>Status:</b> |
|   | <p><b>Risk Management:</b> The participatory process promoted across all the activities will ensure the dissemination of prudent messaging when it comes to carbon payments and community benefits, as well as through the capacity building and stakeholder engagement carried out through the FLEGT Civil Society Platform.</p>        |                   |                   |                |
|   | <b>Resp:</b>   | <b>Stage:</b>     | <b>Due Date :</b> | <b>Status:</b> |
| <p><b>Risk Management:</b> Parameters to guide the future creation of a benefit sharing mechanism will be drafted incorporating the wishes of civil society and all relevant stakeholders affected by the activities carried out under the purview of this project.</p>   |  |                   |                   |                |
| <b>Resp:</b>  | <b>Stage:</b>  | <b>Due Date :</b> | <b>Status:</b>    |                |
| <p><b>Risk Management:</b> A strong cooperation between the two ministries and their implementing agencies will be promoted from the start date of the project activities (frequent joint meetings, etc.). Both Ministries as well as others are included in the</p>  |  |                   |                   |                |

|  |  |               |                   |
|--|--|---------------|-------------------|
| And OIPR, there could emerging issues around effective collaboration between the ministries and implementing agencies involved during the REDD+ strategy preparation process.  | interministerial secretariat which will meet throughout the course of the National REDD+ Strategy development process.   |               |                   |
| <b>2. Operating Environment Risks</b>  |  |               |                   |
| <b>2.1. Country</b> (description and rating are not disclosed)   | <b>Rating: High</b>  |               |                   |
| <p><b>Description:</b> Governance, lack of transparency and accountability, corruption. Côte d’Ivoire emerged from the 2011 crisis with weakened institutions and governance, and an environment where corruption flourished; the formal system has low capacity to provide justice. In 2012, Transparency International gives Côte d’Ivoire a Corruption Perception Index of 27 out of 100 (0 being perceived as highly corrupt and 100 being perceived as highly clean), placing it at rank 136 of 177 countries rated. Past regimes tended to use ethnic and regional favoritism to distribute resources. This has created a strong sense of injustice among those excluded from this system of redistribution—in both public and private sectors—and created serious problems for inter-ethnic (and inter-regional) trust.</p> | <p><b>Risk Management:</b> The Bank will ensure fiduciary integrity of IDA operations; help strengthen the government’s fiduciary risk management; design operations that reduce opportunities for corruption; and seek to change the incentives facing government counterparts by emphasizing the importance of results and the Bank’s zero tolerance for corruption.</p> |               |                   |
|  | <b>Resp:</b>   | <b>Stage:</b> | <b>Due Date :</b> |
| <b>2.2. Sector/multi-sector</b>  | <b>Rating: High</b>  |               |                   |
| <p><b>Description:</b> Insufficient inter-ministerial coordination for REDD+. Strong multi-sectoral coordination is necessary to address the trade-offs between sectoral developments and REDD. Despite a positive start, there is a risk that not all Sectoral Ministries will coordinate to make REDD+ a reality in Côte d’Ivoire.</p>   | <p><b>Risk Management:</b> The National REDD+ Steering Committee will bring together all relevant Ministries, and will function as a coordination body for inter-sectoral activities (including planning, workshops, etc.).</p>  |               |                   |
|  | <b>Resp:</b>   | <b>Stage:</b> | <b>Due Date :</b> |
| <p>The forest sector suffers from various shortcomings: insufficient law enforcement and protected area enforcement, conflicts over land use allocation (forests, agriculture—notably cocoa expansion, mines, etc.), issues related to citizenship and ability to acquire land tenure and use rights, corruption, and insufficient participation of communities in benefit sharing. Even through</p>   | <p><b>Risk Management:</b> The REDD+ Readiness process will be fully embedded in and contribute to the ongoing forest and agriculture sector and land tenure policy reforms. The team will seek to ensure that REDD+ serves as leverage for further reforms in these sector, by linking performance-based payments (REDD+) to governance reforms.</p>                      |               |                   |

there are key policy and legal instruments in place to fix these shortcomings and ensuring community participation, the implementation remains weak.

There is corruption in the forest sector, including illegal logging, non-respect to logging norms (forest management plan).

|   |               |                   |                |
|---|---------------|-------------------|----------------|
| <b>Resp:</b>  | <b>Stage:</b> | <b>Due Date :</b> | <b>Status:</b> |
| <b>Risk Management:</b> The country is promoting sustainable forest management including certification, and has expressed commitment to enhancing forest governance. The Country has also signed the FLEGT Agreement with EU which is under implementation. |               |                   |                |
| <b>Resp:</b>  | <b>Stage:</b> | <b>Due Date :</b> | <b>Status:</b> |

**3. Implementing Agency Risks (including fiduciary)**

**3.1. Capacity**

**Description:**  
 Weak capacity at the government level to deliver a complex program, including communicating with various stakeholders, coordinating with different donors. FM and procurement risks are substantial.  
 Public expenditure management suffers from a distorted budget cycle, lack of transparency, and expenditure execution problems. Fiscal discipline has weakened and budget allocations to the social sectors (health and education) have declined significantly since 2000, contributing to the deteriorated state of social services. Budget comprehensiveness and transparency is compromised by an inadequate budget nomenclature and classification, inadequate consolidation of public entities in the global budget, and lack of clear rules for budget transfers to local governments. In budget execution, there are long lags in the cycle of approvals and processing; also, budget execution reports are not fully reliable due to infrequent reconciliation between budget and accounting systems. Information on budget allocations and execution has not been readily available to the public. Controls are weak and the Chamber of Accounts is not entirely operational. Despite advances made under a new public procurement code, many contracts do not follow a competitive bidding process, and there are insufficient ex-post controls of the

**Rating: High**

**Risk Management:**  
 The focus of this project includes capacity building at various levels within the PES and beyond at the MINESUDD level (planning, monitoring, financial management, communication as well as stakeholder capacity enforcement and engagement, etc.) with permanent efforts to adapt the program to needs.

|  |   |               |                   |                |
|--|---|---------------|-------------------|----------------|
| procurement process. Public dissemination remains inadequate.  |   |               |                   |                |
|  | <b>Resp:</b>  | <b>Stage:</b> | <b>Due Date :</b> | <b>Status:</b> |
| <b>3.2. Governance</b>   | <b>Rating: High</b>   |               |                   |                |
| <b>Description:</b><br>Although all relevant ministries are on board and an already-demonstrated high-level of ownership of the process through the Ministry of Planning having taken on a coordination role, there is the possibility that in implementation there will be weak inter-sectoral coordination and lack of appropriate participation of key stakeholders in decision making. | <b>Risk Management :</b><br>Support government in creating clear division of roles in the process of the creation of a national REDD+ strategy. Continued support to multi-stakeholder participation and transparency in the process.   |               |                   |                |
|  | <b>Resp:</b>  | <b>Stage:</b> | <b>Due Date :</b> | <b>Status:</b> |
| <b>Fraud &amp; Corruption (sub-category of Governance risk)</b>  | <b>Rating: High</b>   |               |                   |                |
| <b>Description:</b><br>There are moderate risks in the management of FCPF grant funds. Potentially in the future there may be high risks of corruption in the management and distribution of future REDD+ funds.   | <b>Risk Management :</b><br>Periodic FM supervision of grant management, including independent audits.  |               |                   |                |
|  | <b>Resp:</b>  | <b>Stage:</b> | <b>Due Date:</b>  | <b>Status:</b> |
| <b>4. Project Risks</b>  |   |               |                   |                |
| <b>4.1. Design</b>   | <b>Rating: Medium – Low</b>   |               |                   |                |
| <b>Description:</b> There is an unlikely risk of lack of appropriate coordination with other donors during project implementation.   | <b>Risk Management:</b> The design of the project has been kept simple, and where possible parallel financing of components has been planned in order to simplify the process. It has also been prepared in close collaboration with other donors, which will be financing part of the REDD+ Readiness process. Continued interaction with donors during design and implementation will be ensured. |               |                   |                |
|  | <b>Resp:</b>  | <b>Stage:</b> | <b>Due Date:</b>  | <b>Status:</b> |
| <b>4.2. Social &amp; Environmental</b>   | <b>Rating: Medium – High</b>  |               |                   |                |
| <b>Description :</b> REDD+ entails important social risks (elite capture of benefits, conflicts over land and REDD+ benefits), and some environmental risks (such as conversion of natural forests for   | <b>Risk Management :</b><br>Close supervision of the preparation of the SESA including through direct support to a dedicated consultant. Continued capacity building for stakeholders on SESA will be ensured.  |               |                   |                |

|  |  |              |               |                  |                |
|--|--|--------------|---------------|------------------|----------------|
| monoculture plantations)   | An ESMF that incorporates the elements corresponding to the applicable safeguard policies (such as an EMF, RPF, and/or Process Framework, as necessary) will be prepared and will support the country in managing and mitigating negative environmental and social impacts from the implementation of the National REDD+ Strategy (including impacts on natural habitats and forests, and social impacts).   | <b>Resp:</b> | <b>Stage:</b> | <b>Due Date:</b> | <b>Status:</b> |
| <b>4.3. Program &amp; Donor</b>  | <b>Rating: Medium – Low</b>  |              |               |                  |                |
| <b>Description:</b> The success of the overall REDD+ readiness process depends on the financing from other donors. Delays in financing could hinder progress of the overall process, and jeopardize some FCPF-financed activities (as well as being a reputational risk for the program). There is interdependence across activities financed by the FCPF and other donors. However, the FCPF support has been designed in close coordination with other Donors to ensure synergies and where possible parallel financing. | <b>Risk Management :</b><br>Continued support to the PES in their coordination of the overall Readiness process will be ensured. Effective coordination with donors will be ensured through: i) joint supervision missions; ii) frequent communication between the programs; iii) use of the R-PP by the two programs as the overall document providing guidance for support to the national REDD+ readiness process; iv) having the same interlocutor at the government level (the PES and MINESUDD).   |              |               |                  |                |
| <b>4.4. Delivery Monitoring &amp; Sustainability</b>   | <b>Rating: High</b>  |              |               |                  |                |
| <b>Description:</b> Risk that the full REDD Readiness process (all key RPP components, not just those financed by the FCPF) is not completed as these components depend on parallel financing through other delivery partners. The total financial needs for the REDD+ Readiness process adds up to over USD28 million.  | <b>Risk Management :</b><br>Keep communication channels open and carry out joint missions with the other delivery partners engaged in REDD Readiness. Support any additional fund-raising efforts on the part of the government, resorting to WB convening power.<br><br>The FCPF-funded activities have been selected strategically, to support priority REDD+ Readiness needs that allow the country to progress in getting ‘ready’. US\$3.8 million has already been secured, with another US\$5 million possible through the FCPF, with vision of tapping into additional resources once the country is able to show considerable progress in REDD+ Readiness. |              |               |                  |                |
| <b>4.5. Other Institutional Framework</b>  | <b>Rating: High</b>  |              |               |                  |                |
| <b>Description:</b> A successful REDD+ mechanism involves important changes to the existing institutional framework and touches sensitive issues, such as land tenure rights. The land tenure  | <b>Risk Management :</b><br>Support the inclusion of REDD+-related institutional reforms in ongoing policy reforms (such as the land tenure reform process and agriculture reforms). Communicate the evolving  |              |               |                  |                |

reform process being carried out in parallel touches on sensitive issues and has the potential to face opposition. Notwithstanding, not all of these reforms have to be achieved before the country is 'ready' to participate in a REDD+ mechanism.

nature of REDD+ Readiness, which is not a static point in time but a process of gradual capacity strengthening towards sustainable forest management

|              |               |                  |                |
|--------------|---------------|------------------|----------------|
| <b>Resp:</b> | <b>Stage:</b> | <b>Due Date:</b> | <b>Status:</b> |
|--------------|---------------|------------------|----------------|

**Non disclosable Information for Management Attention (Optional)**

**Comments:**

**5. Project Team Proposed Rating Before Review**

**5.1 Preparation Risk Rating:**

**5.2 Implementation Risk Rating:**

**Comments:**

**Comments:**

**6. Risk Team**

**6.1 Preparation Risk Rating**

**6.2 Implementation Risk Rating**

**Comments:**

**Comments:**

**7. Overall Risk Following Review**

**7.1 Preparation Risk Rating:**

**7.2 Implementation Risk Rating:**

**Comments:**

**Comments:**

## **Annex II. December 12-15, 2013 - Geneva, Switzerland - Resolution PC/16/2013/4**

### **FOREST CARBON PARTNERSHIP FACILITY (FCPF) SIXTEENTH PARTICIPANTS COMMITTEE MEETING**

**December 12-15, 2013**

**Geneva, Switzerland**

**Resolution PC/16/2013/4**

#### **Côte d'Ivoire's Readiness Preparation Proposal**

##### **Whereas:**

1. The Participants Committee (PC), through its Resolution PC/14/2013/2, specified the criteria and the process by which Qualified Eligible REDD Countries may be selected into the FCPF;
2. Côte d'Ivoire submitted a Readiness Preparation Proposal (R-PP) to the Facility Management Team (FMT) in July 2013, in accordance with Resolution PC/14/2013/2, and the R-PP was reviewed by a Technical Advisory Panel (TAP), and a working group consisting of Participants Committee (PC) members established for this purpose;
3. The PC reviewed the R-PP in accordance with Section 11.1 (b) of the Charter Establishing the FCPF (Charter) at its sixteenth meeting;
4. The PC acknowledged the extensive efforts made by Côte d'Ivoire, and the high quality of the R-PP; and
5. The PC recalls that, as specified in Resolution PC/14/2013/2, Côte d'Ivoire shall meet both of the following conditions to have guaranteed access to Readiness Preparation Grant funding: 1) submit their Revised R-PP within nine months of being allocated Readiness Preparation Grant funding by the PC through this Resolution; and 2) sign their Readiness Preparation Grant Agreement within fourteen months of being allocated Readiness Preparation Grant funding by the PC through this Resolution.

##### **The Participants Committee,**

1. Decides to allocate funding to Côte d'Ivoire to enable it to move ahead with the preparation for readiness, subject to signing of the REDD Country Participation Agreement between Côte d'Ivoire and the Trustee of the Readiness Fund.
2. For this purpose, requests:
  - i. Côte d'Ivoire to submit a revised R-PP (Revised R-PP) to the FMT, reflecting the key issues in the summary report prepared by the FMT included in the annex of this Resolution;
  - ii. The FMT to check on the Revised R-PP for completeness, make it available on the FCPF website and notify the PC of its availability;
  - iii. The World Bank, as the Delivery Partner, to complete its due diligence, in particular with regard to the World Bank's Operational Policies and Procedures, working closely with Côte d'Ivoire, in order to

provide a grant of up to US\$ 3.8 million, in accordance with Resolutions PC/3/2009/4 and PC/Electronic/2012/1;

iv. Côte d'Ivoire to consider the issues identified in the TAP's R-PP assessment as well as those raised by the FCPF PC at this meeting during readiness preparation; and

v. Côte d'Ivoire to report to the PC on progress made in accordance with Section 6.3 (b) of the Charter and to carry out its responsibilities in accordance with the Grant Agreement.

## **Annex**

### **Summary Report Prepared by the FMT**

The PC noted that the R-PP offers good opportunities for other REDD countries to learn from Côte d'Ivoire's experience.

Further, the feedback provided by the PC and TAP indicated that it would be beneficial for Côte d'Ivoire to closely coordinate with the other ongoing processes and reforms which may have a major impact on the potential success of the implementation of the R-PP. Côte d'Ivoire should also pay particular attention to planning and establishing meaningful milestones and indicators to monitor progress towards achieving its ambitious strategic goals, particularly in the agriculture sector.

### **Key Issues**

The following are the key issues that Côte d'Ivoire needs to address before entering into a Readiness Preparation Grant Agreement with the Trustee of the Readiness Fund.

1. In component 2c, the R-PP should clarify the role of the REDD+ process in relation to the FLEGT process in supporting sustainable forest management, in particular, how the SEP (REDD+) would include the CTN (FLEGT) in decision-making regarding the allocation of budget related to the REDD+/FLEGT civil society platform.

2. In components 3 and 4a, clarify the institutional arrangements for the development of Côte d'Ivoire's reference level and forest monitoring system, including roles and responsibilities for data collection, forest mapping, and carbon accounting.

**Annex III. R-PP Submitted by the Republic of Côte d'Ivoire**

The R-PP can be found on <https://forestcarbonpartnership.org/c%C3%B4te-divoire>

### Annex IV-FCPF-Funded Staff Breakdown

| <b>Staff responsible for the coordination of the following components:</b>               |           |           |           |           |           |                               |                      |                  |
|--|-----------|-----------|-----------|-----------|-----------|-------------------------------|----------------------|------------------|
| <b>REDD+ PES<br/>Positions (except for<br/>*=<i>hosted by<br/>MINESUDD directly</i>)</b> | <b>1a</b> | <b>1b</b> | <b>1c</b> | <b>2b</b> | <b>2c</b> | <b>2c: Pilot<br/>Projects</b> | <b>2d<br/>(SESA)</b> | <b>6</b>         |
| <b>Coordinator</b>   | n/a       |           |           |           |           |                               |                      |                  |
| <b>Technical Staff</b> (6x<br>Education: BAC+4 or 5)                                     | 100,000   |           | 100,000   | 100,000   | 100,000   | 100,000                       | 200,000              | 100,000          |
| <b>Technical Staff</b> (3x<br>Education: BAC+3)  |           | 128,000   | 64,000    |           |           |                               |                      |                  |
| <b>Procurement<br/>Specialist*</b>   | 80,000    |           |           |           |           |                               |                      |                  |
| <b>Financial Management<br/>Specialist/ accountant*</b>                                  | 80,000    |           |           |           |           |                               |                      |                  |
| <b>Consultant (FM<br/>Manual)*</b> (2 months at<br>project start)                        | 6,000     |           |           |           |           |                               |                      |                  |
| <b>IT Staff</b>  | 60,000    |           |           |           |           |                               |                      |                  |
| <b>Chauffeur (2x)</b>  | 64,000    |           |           |           |           |                               |                      |                  |
| <b>Bilingual secretary</b>   | 48,000    |           |           |           |           |                               |                      |                  |
| <b>Housekeeping</b>  | 20,000    |           |           |           |           |                               |                      |                  |
| <b>Total</b>   |           |           |           |           |           |                               |                      | <b>1,350,000</b> |

## Annex V-Procurement Plan

### Plan de Passation des Marchés sur une période de 18 mois (Oct. 2014 - Mars 2016)

#### *Fournitures, Travaux et Services Assimilés*

| 1        | 2  | 3                          | 4                               | 5                           | 6                              | 7   | 8                                   | 9                                       |
|----------|--|----------------------------|---------------------------------|-----------------------------|--------------------------------|---|-------------------------------------|---|
| Réf. No. | Contrat (Description)  | Montant Estimatif en \$ US | Méthode de passation de marchés | Pré-qualification (oui/non) | Préférence nationale (oui/non) | Examen préalable de la Banque (a priori / a posteriori) | Date de préparation des soumissions | Date prévue pour l'ouverture des offres |
| 01       | Acquisition d'un véhicule  | 50 000                     | AON                             | Non                         | Non                            | A priori  | 20/10/14                            | 03/11/2014                              |
| 02       | Acquisition et installation du logiciel de gestion financière et comptable du projet | 20 000                     | ED                              | Non                         | Non                            | A priori  | N/A                                 | N/A                                     |
| 03       | Acquisition de carburant   | 17 000                     | ED                              | Non                         | Non                            | A posteriori  | N/A                                 | N/A                                     |
| 04       | Confection de documents  | 6000                       | CFN                             | Non                         | Non                            | A posteriori  | N/A                                 | N/A                                     |
| 05       | Assurance du véhicule acquis dans le cadre du projet                                 | 3000                       | CFN                             | Non                         | Non                            | A posteriori  | N/A                                 | N/A                                     |
| 06       | Entretien de véhicule  | 4 000                      | ED                              | N/A                         | N/A                            | A posteriori  | N/A                                 | N/A                                     |

ED =

**Directe, AON = Appel d'Offres National, CFN = Consultation de Fournisseurs à l'échelle Nationale**

Entente

**Contrats de Consultants (individuels ou firmes)**

| 1        | 2   | 3                          | 4                    | 5   | 6                           | 7   |
|----------|---|----------------------------|----------------------|---|-----------------------------|---|
| Réf. No. | Description du contrat  | Montant Estimatif en \$ US | Méthode de sélection | Examen préalable de la Banque (a priori / a posteriori) | Date de soumission des TDRs | Date prévue pour la soumission des propositions |
| 01       | Recrutement d'un spécialiste en Passation des marchés   | 36 000                     | CI                   | A Priori  | 15/08/2014                  | + 2 mois  |
| 02       | Recrutement d'un comptable  | 36 000                     | CI                   | A priori  | 15/08/2014                  | + 2 mois  |
| 03       | Recrutement d'un assistant de Direction   | 21 600                     | CI                   | A priori  | Nov. 2014                   | + 2 mois  |
| 04       | Recrutement de 2 chauffeurs   | 28 800                     | CI                   | A priori  | Nov. 2014                   | + 2 mois  |
| 05       | Recrutement d'un responsable en suivi évaluation  | 45000                      | CI                   | A priori  | Nov. 2014                   | + 2 mois  |
| 06       | Recrutement d'un responsable chargé de l'engagement du secteur privé  | 45000                      | CI                   | A priori  | Nov. 2014                   | + 2 mois  |
| 07       | Recrutement d'un responsable des projets pilote   | 45000                      | CI                   | A priori  | Nov. 2014                   | + 2 mois  |
| 08       | Recrutement de 2 responsables pour la stratégie et le cadre de mise en œuvre                                | 90 000                     | CI                   | A priori  | Nov. 2014                   | + 2 mois  |
| 09       | Recrutement de 4 cadres responsables IEC  | 131 400                    | CI                   | A priori  | Nov. 2014                   | + 2 mois  |
| 10       | Recrutement d'un cabinet pour l'EESS  | 200 000                    | SFQC                 | A priori  | Janv. 2015                  | + 2 mois  |
| 11       | Recrutement d'un cabinet pour la rédaction du manuel de procédures administrative, comptable et financière  | 6000                       | SFQC                 | A priori  | 15/08/2014                  | + 2 mois  |
| 12       | Recrutement de 2 responsables en évaluation environnementale et sociale                                     | 90 000                     | CI                   | A priori  | Nov. 2014                   | + 2 mois  |
| 13       | Conception d'un site Web SEP/REDD+ (conception et maintenance)  | 6500                       | CI                   | A priori  | Janv. 2015                  | + 2 mois  |
| 14       | Recrutement d'un cabinet pour la production outils IEC  | 40 000                     | SFQC                 | A priori  | Fév. 2015                   | + 2 mois  |
| 15       | Recrutement d'un consultant pour la mise en place du mécanisme de gestion des plaintes (y compris ateliers) | 40 000                     | CI                   | A priori  | Nov. 2014                   | + 2 mois  |

|    |  |        |      |          |           |          |
|----|--|--------|------|----------|-----------|----------|
| 16 | Recrutement d'un consultant pour la rédaction des TDRs pour l'EES  | 2000   | CI   | A priori | Nov. 2014 | + 2 mois |
| 17 | Rédaction d'un manuel de suivi-évaluation  | 20000  | CI   | A priori |           | + 2 mois |
| 18 | Analyse sur l'état d'usages des terres (historique, actuel et perspectives) et options sur l'aménagement du territoire et atelier de validation de l'étude | 110000 | SFQC | A priori | Mars 2015 | + 2 mois |
| 19 | Etude nationale sur les filières bois énergie (offre et demande) désagrégée au niveau des zones agro écologiques et atelier de validation de l'étude       | 100000 | SFQC | A priori | Mars 2015 | + 2 mois |
| 20 | Etude analytique sur le potentiel de reboisement à l'échelle du Pays et atelier de validation de l'étude   | 75000  | SFQC | A priori | Mars 2015 | + 2 mois |

**CI = Consultant Individuel, SFQC = Sélection Fondée sur la Qualité et le Coût**

## **Annex VI-Terms of Reference for the Strategic Environmental and Social Assessment for Reducing Emissions from Deforestation and forest Degradation (REDD+) in Côte d'Ivoire**

### **I. Introduction**

Reducing Emissions from Deforestation and Forest Degradation (REDD+) is a proposed global mechanism to mitigate climate change caused by forest loss or degradation, while mobilizing financial resources for socio-economic development in forest countries. The Forest Carbon Partnership Facility (FCPF), facilitated by the World Bank, brings together about 50 donors and forest country participants with the aim of supporting the forest countries in the preparation and subsequent implementation of their national REDD+ strategies.

The Government of Côte d'Ivoire is developing a National REDD+ Strategy as a long-term measure for tackling deforestation and forest degradation, ensuring sustainable forest management, and enhancing carbon stocks and forest biodiversity conservation. The intended REDD+ Strategy options may cause social and environmental effects on forest-dependent communities and the communities' over-all. It is acknowledged during the formulation of the R-PP that the various types of forests in the agro-ecological zones of Côte d'Ivoire provide environmental products and services (wood and non-wood forest products, soil protection and catchment basins, water quality preservation, cultural services such as the presence of sacred forests, ritual sites, etc.) that are considerable for the communities that are dependent on the forests.

REDD+ is thus considered by Côte d'Ivoire to be an instrument that allows development objectives to be achieved, by mobilizing the various production sectors. But the Government is also aware that REDD+, through the activities that it may conduct, may cause negative impacts not only for the communities but also for the environment. From this perspective, it is important to create synergies in an inclusive manner to respond in advance to the potential negative social and environmental impacts of the REDD+.

### **II. Objectives**

#### **1. Objectives**

The overall objective of the Strategic Environmental and Social Assessment (SESA) elaboration and implementation is to ensure the integration of environmental and social considerations into Côte d'Ivoire REDD+ Readiness Preparation process, leading to sustainable and pro-poor REDD+ policies. The SESA will be complemented by an Environmental and Social Management Framework (ESMF), which will guide potential investments in REDD+ demonstration activities toward compliance with safeguards policies.

The specific objective of the SESA is to identify opportunities that:

- Enable an understanding of the operating environment for REDD+ programs, including stakeholder analysis and the socio-environmental dimensions of the forestry sector in Côte d'Ivoire;
- Screen and assess possible social impacts and issues related to REDD+ programs in Côte d'Ivoire according the different strategy options;
- Identify possible risks and criteria for risk management;
- Develop a multi-stakeholder engagement approach to address these impacts that will be part of the larger consultation and participation process;
- Propose methods and measures to mitigate environmental and socioeconomic risks during REDD+ strategy implementation;

## **2. Links between the SESA and the REDD+ Strategy**

The SESA will contribute towards the REDD+ Readiness process in Côte d'Ivoire by assessing how REDD+ Strategy options address environmental and social priorities associated with current patterns of land use and forest management. In addition, SESA will assess inter-sectoral linkages within the land-use planning process and, trade-offs and opportunity costs involved with different land uses. Gaps identified through these assessments will lead to strengthening the REDD+ Strategy options. For any outstanding potential social and environment issues, the SESA will develop an Environmental and Social Management Framework (ESMF) that will outline the procedures to be followed for managing potential environmental and social impacts of specific REDD+ options during the implementation of the REDD+ Strategy for Côte d'Ivoire.

## **3. The SESA approach for Côte d'Ivoire**

The Government of Côte d'Ivoire plans to put in place a SESA Unit (consists of at least 2 senior experts; an environmentalist and a social development expert). In addition, the Technical Secretariat if needed might hire additional expertise under the National REDD+ Technical Secretariat to oversee the SESA implementation process. International/National-level expertise(s) will be recruited to work with the SESA unit and they would conduct the required analytic studies for Côte d'Ivoire's REDD+ Strategy options. Côte d'Ivoire's R-PP identifies the following candidate REDD+ Options that will be refined during the implementation of R-PP (2013-2015).

### **III. Setting the context of the SESA**

#### **Step #1: Scoping**

This step will encompass stakeholder gap analysis. It builds on the consultations carried out during the R-PP formulation. The SESA process will conduct a stakeholder gap analysis to identify any relevant stakeholders that might not have been considered during the R-PP formulation phase. Important among them would be community-level representatives, forest dependent communities.

The SESA Unit would prepare a comprehensive set of consultation and participation activities for the SESA (draft SESA Work plan and budget). This undertaking will seek to coordinate with the Unit in charge of preparing the REDD+ strategy options in order to avoid duplications and ensure consistency of timelines in particular for consultation activities.

The output of this step is a draft SESA process work plan and budget for Côte d'Ivoire.

### **Step #2: Launching the SESA Work plan**

The SESA Consultant(s) together with the SESA Unit will present the draft SESA work plan and budget for a broader stakeholder validation in a national workshop in order to define the legitimacy of the work plan and all subsequent stakeholder consultation and participation processes. Views, comments and consensus from the validation workshop shall be integrated into the draft work plan before preparing the final SESA work plan which shall be publicly disclosed through appropriate means or platforms.

The output of this step is a validated SESA work plan and budget for Côte d'Ivoire REDD+ options.

### **Step #3: Identification of key environmental and social issues**

This step aims to generate primary data on key environmental and social issues in the forestry sector in Côte d'Ivoire to inform the selection of environmental and social priorities, using a variety of analytical tools. The SESA Unit will facilitate the elaboration and implementation of SESA. Case studies will be used to show opportunity costs of different land uses including environmental and ecosystems evaluation. Case studies will also help to dig deeper into key issues, inter-sectoral linkages and potential trade-offs in key areas. Participatory rural appraisal will be the main vehicle for identifying key environmental and social issues at the community level.

Building on the evidence and results of the above analyses, the SESA consultant(s) together with the SESA Unit will produce a scoping report of key environmental and social issues in forests areas in Côte d'Ivoire. The scoping report will, among others:

- a. Identify environmental and social hotspots and discuss their main characteristics.
- b. Analyze critical institutional, legal, regulatory, policy and capacity gaps underlying the key environmental and social issues identified.

### **Step #4: Selection of environmental and social priorities**

The scoping report will be used during consultations with key stakeholders at multiple levels, who will engage in the selection of environmental and social priorities. The most appropriate medium of communication and outreach will be applied so as to ensure effective participation. In addition, institutional stakeholders identified in Step #1 (SESA Stakeholders) will review and prioritize environmental and social issues through culturally sensitive means of consultation.

The SESA Unit will facilitate the Consultants to synthesize outputs from the SESA Stakeholders and prepare a report on selected environmental and social issues. This report will be subjected

to discussion at a national workshop in order to reach a consensus on common set of priorities. The final report after the workshop will be published and publicly disclosed through appropriate means. The output of this step is the Report on priority environmental and social issues.

#### **Step #5: Assessment of candidate REDD+ Strategy options**

The SESA Unit working with the Consultants, will assess the extent to which candidate REDD+ strategy options address the previously defined environmental and social priorities and take into account in their formulation the opportunity cost of forests. REDD+ strategy options will be assessed against Côte d'Ivoire's legal and policy provisions as well as the World Bank safeguards. Based on this assessment, REDD+ Strategy Options will be improved and recommended to the National REDD+ Technical Secretariat for further actions. The output of this step is a draft report on REDD+ Strategy Options.

#### **Step #6: Validation of REDD+ Strategy Options**

The SESA Unit and Technical Secretariat will present the draft REDD+ Strategy options for a national validation workshop. Participants at the validation workshop will be selected from stakeholders defined in SESA work plan developed in step #1.

#### **Step #7: Risk management/Environmental and Social Management Framework (ESMF)**

The SESA process shall conclude with the formulation of an Environmental and Social Management Framework (ESMF) to address outstanding issues or risks during implementation of the REDD+ Strategy. The SESA consultant together with the SESA Unit will prepare the ESMF. The ESMF shall be subjected to a series of validation processes by stakeholders at national and community levels in selected locations.

#### **Step 8: SESA Road Map and Estimated Budget**

The SESA Consultant together with the SESA Unit will prepare a detailed SESA implementation plan, schedule and budget for the ESMF to be approved alongside the REDD+ strategy for Côte d'Ivoire

### **IV. SESA Consultant**

#### **1. Tasks**

Reporting to the National REDD+ Technical Secretariat on technical issues and on contractual matters, the SESA Unit shall facilitate the activities of the SESA Consultants. The consultant in collaboration with the SESA Unit shall carry out the following tasks:

- a. Generating information through consultations with the REDD+ national coordinator, SESA Unit and other stakeholders and develop SESA process work plan and budget. The work plan shall provide details on the SESA approach and methodology, timing/roadmap, and processes for communicating, validating and providing feedback during the SESA process.

- b. Organizing and facilitating countrywide consultations in accordance with the scope of the approved SESA work plan.
- c. Collecting, analyzing and disseminating primary data, including mapping of social, economic and environmental issues pertaining to the drivers of deforestation in the country, as a way to inform the development of SESA.
- d. Assessing the environmental and social sustainability aspects of proposed REDD+ strategy options, and providing feedback National REDD+ Technical Secretariat
- e. Developing an ESMF to address any residual risks that are not addressed via the SESA process. Facilitating forums convened to review and approve/endorse SESA and the ESMF.

## 2. Qualifications

The SESA process is expected to be facilitated by a national/international expert working with a Team of experts in the following fields: natural resources/forestry management, social development, environmental assessment, stakeholder engagement and GIS, among others. The following fields of technical expertise and working experiences are required:

- **Policy Analyst / Planner (Team Leader)** should have proven experience in leading sector or national reviews or assessments of public policies or development strategies. At least 10 years of experience, of which 5 years are relevant experience in developing countries, is required. This expert should have at least 2 years of experience in the region. S/he must have academic training in natural resources management, environmental or social sciences. Experience in SEA or SESA is desirable. Working Knowledge of World Bank safeguards is of additional advantage.
- **Forest Governance Specialist** should have at least 5 years of experience in forest governance processes and assessments. Knowledge on the legal, policy and institutional framework of natural resources and sustainable development in Côte d'Ivoire is required. A sound understanding of forest management.
- **Social Development Specialist** should have at least 5 years of working experience on forest communities. Familiarity with social issues associated with forests in Côte d'Ivoire and the World Bank social safeguard policies is required. At least three years of experience in the region is required including experience in applying participatory rural appraisal. Knowledge of Côte d'Ivoire social and economic issues and trends is desirable.
- **Stakeholder Engagement Specialist** should have at least 5 years of experience in participatory planning and engagement with a wide spectrum of stakeholders at the national, regional and local levels. Experiences in forestry related and land use management aspects in West Africa are required. Ability to communicate in major local languages is desirable.
- **Environmental Specialist** should have at least 5 years of experience in environmental assessment in developing countries. Familiarity with environmental issues associated with forestry resources in West Africa and the World Bank environmental safeguard policy is required. Experience in environmental evaluation is desirable.
- **Mapping Specialist** should be able to cover all mapping requirements of the SESA. Experience of at least 5 years and proven experience on mapping and GIS techniques is required

- **Legal Expert** in charge to review all the relevant laws. Should have at least 5 years of experience in country legal review

All members of the team should be fluent in French and English, with knowledge especially in the Social Development and Stakeholder Engagement. Specific technical inputs on legal, infrastructure development projects, gender and environmental and natural resources evaluation should be provided by the Consultant as needed.