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The World Bank

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READINESS PREPARATION PROPOSAL ASSESSMENT NOTE

ON A

PROPOSED GRANT

IN THE AMOUNT US\$3.80 MILLION

TO

BURKINA FASO

FOR

REDD+ READINESS PREPARATION SUPPORT

FROM THE FOREST CARBON PARTNERSHIP FACILITY

November 06, 2014

Vice President:	Makhtar Diop
Country Director:	Ousmane Diagana
Practice Manager:	Benoît Bosquet
Global Practice Senior Director:	Paula Caballero
Task Team Leader:	Hocine Chalal

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## DATA SHEET

### BURKINA FASO REDD+ READINESS PREPARATION SUPPORT

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

*AFR*  
*GENDR*

Basic Information					
Date: November 6, 2014		GENDR			
Country Director:	Ousmane Diagana	Themes:	Forests, Climate Change		
Global Practice Manager/Director:	Benoît Bosquet / Paula Caballero	EA Category:	B		
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Team Leader(s):	Hocine Chalal				
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Project Implementation Period:	Start Date:	January 31, 2015	End Date:	June, 30, 2018	
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\$3.8 M		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			US\$3.8 Million		
Regional FCPF Trust Fund Number:					
FCPF Country Child Trust Fund Number:					
Recipient: Burkina Faso					
Responsible Agency: Ministère de l’Environnement et Développement Durable					
Contact:	Samuel Yéyé		Title:	REDD+ Focal Point	
Telephone No.:	+226. 7660.9619		Email:	yeyesam@yahoo.fr	

### Clearances to the Readiness Preparation Proposal Assessment Note

Global Practice Manager: Benoît Bosquet , Novembre 06, 2014

Regional Safeguards Coordinator: Alexandra Bezeredi, December 17, 2014

Safeguards Specialist: Abdoulaye Gadiere, Lucienne M'Baipor September 25, 2014

Procurement Specialist: Mamata Tiendrebeogo, September 26, 2014,

Financial Management Specialist:Maimouna Mbow Fam, September 15, 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 Country Participants to formulate and implement their Reducing Emissions from Deforestation and Forest Degradation (REDD+) 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.

## ABBREVIATIONS AND ACRONYMS

AfDB	African Development Bank
AFD	French Development Agency ( <i>Agence Française de Développement</i> )
CPS	Country Partnership Strategy
CIF	Climate Investment Funds
CILSS	International Committee Against Desertification in the Sahel / <i>Comité Inter-Etat de Lutte contre la Sécheresse au Sahel</i>
CLIM-GDDF	Climate Governance and Decentralized Sustainable Management of Forests
CO <sub>2</sub>	Carbon Dioxide
CONEDD	National Advisory Council on Environment and Sustainable Development / <i>Conseil National pour l'Environnement et le Développement Durable</i>
CVD	Village Development Council / <i>Conseil villageois de développement</i>
DA	Designated Account
DAF	Financial Administration Directorate ( <i>Direction de l'Administration et des Finances</i> )
DCMEF	Directorate of Public Procurement and Financial Commitments
DCIME	Competencies Development, Information and Environmental Monitoring Unit / <i>Division du développement des compétences, de l'information et du monitoring en environnement</i>
DDD	Directorate of Sustainable Development (SDD) / <i>Direction du développement durable</i>
DGCMEF	General Direction for Public Procurement and Oversight / <i>Direction générale du Contrôle, des Marchés et des Engagements Financiers</i>
DGESS	Director General of Studies and Sector Statistics
DGFF	General Direction for Forests and Fauna
DGM	Dedicated Grant Mechanism for Indigenous Peoples' and Local Communities
DGPEDD	General Directorate for Environmental Protection and Sustainable Development
DMP	Public Procurement Department

DREDD	Regional Director for Environment and Sustainable Development / <i>Direction régionale de l'environnement et du développement durable</i>
EC	European Commission
ESMF	Environmental and Social Management Framework
EU	European Union
FCPF	Forest Carbon Partnership Facility
FIP	Forest Investment Program
FM	Financial Management
GCCA	Global Climate Change Alliance
GDP	Gross Domestic Product
GDT/REDD+	Sustainable Land Management/REDD+ / <i>Gestion Durable des Terres/REDD+</i>
GEF	Global Environment Facility
GHG	Greenhouse Gas
IBRD	International Bank for Reconstruction and Development
ICB	International Competitive Bidding
IDA	International Development Association
IFN2	Second National Forest Inventory / <i>2eme Inventaire forestier national</i>
IPE	Poverty Environment Initiative / <i>Initiative Pauvreté – Environnement</i>
ISR	Implementation Status Report
LPDRD	Policy Letter on Decentralized Rural Development / <i>Lettre de politique de développement rural décentralisé</i>
MASA	Ministry of Agriculture and Food Security/ <i>Ministère de l'Agriculture et de la sécurité alimentaire</i>
MDG	Millennium Development Goal
MEDD	Ministry of Environment and Sustainable Development / <i>Ministère de l'Environnement et du développement durable</i>
M&E	Monitoring and Evaluation
MRAH	Ministry of Animal and Fishery Resources/ <i>Ministère des Ressources Animales et Halieutiques</i>
MRV	Measurement, Reporting and Verification
NAPA	National Adaptation Program of Action
NCB	National Competitive Bidding
NGO	Non-Governmental Organization
NRM	Natural Resources Management
NTFP	Non-Timber Forest Products
ONEDD	Environment and Sustainable Development Observatory / <i>Observatoire pour l'environnement et le développement durable</i>
PAFASP	Agricultural Diversification and Productivity Project / <i>Programme d'appui aux filières agro-sylvo-pastorales</i>
PANE	National Action Plan for the Environment/ <i>Plan d'Action National pour l'Environnement</i>
PAPSA	Productivity and Food Security Project / <i>Projet d'Amélioration de la productivité et de la sécurité alimentaire</i>
PASF	Forest Sector Support Project / <i>Projet d'Appui au Secteur forestier</i>
DFWM/PGDFEB	Decentralized Forest and Woodland Management Project / <i>Projet gestion décentralisée des forêts et espaces boisés</i>

PGFC/REDD+	Classified Forest Management Program/ REDD+/ <i>Programme de gestion des forêts Classées/REDD+</i>
PIM	Project Implementation Manual
PNGT	Community Based Rural Development Program / <i>Programme national de gestion des terroirs</i>
PNSR	National Program for the Rural Sector / <i>Programme national du secteur rural</i>
PPAAO	Agricultural Productivity Project for West Africa / <i>Projet de productivité agricole en Afrique de l'Ouest</i>
PPG	Project Preparation Grant
PROFOR	Program on Forests
PRSP	Poverty Reduction Strategy Paper/ <i>Cadre stratégique de lutte contre la pauvreté (CSLP)</i>
REDD+	Reducing Emissions from Deforestation and Forest Degradation
R-PP	Readiness Preparation Proposal
SCADD	Strategy for Accelerated Growth and Sustained Development / <i>Stratégie de croissance accélérée et de développement durable</i>
SCF	Strategic Climate Fund
SP/CONEDD	Permanent Secretary of CONEDD / <i>Secrétaire permanent du CONEDD</i>
SILEM	Sahel Integrated Lowland Ecosystem Management Project
SLM	Sustainable Land Management
SYSCOA	West Africa accounting system
UNDP	United Nations Development Program
WB	World Bank

Burkina Faso  
REDD+ READINESS PREPARATION SUPPORT  
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## I. Introduction and Context

### A. Country Context

1. Burkina Faso has achieved significant and sustained economic growth over the last decade, but continues to face many challenges. Average economic growth between 2003 and 2008 was over 5 percent per year and is expected to average 7<sup>1</sup> percent through 2015 following a high of 9 percent in 2012, one of the highest in West Africa. However, this positive growth has not had a significant impact on poverty reduction or development outcomes. High population growth rates—3.1 percent, also one of the highest in Africa—are projected to result in a doubling of the population in one generation. The demographic trend accelerates environmental degradation which reinforces the cycle of poverty, especially for rural populations who depend on the natural environment for their livelihoods.

2. **Persistent levels of poverty remain a stubborn challenge.** Despite political stability, a strong track record of government decentralization, and steady economic growth in recent years, Burkina Faso remains one of the poorest countries in Africa. In 2013 Burkina Faso's Human Development Index was 0.388, giving the country a rank of 181 out of 187 countries. Rural populations remain largely dependent on agriculture and continue to experience higher rates of poverty—50.7 percent of the rural population lives below the poverty line as compared with 23.7 percent in urban areas. Despite favorable public expenditure trends, Burkina Faso is unlikely to meet most of the Millennium Development Goals (MDG), particularly those related to literacy, health and sanitation. Although expenditure in all three sectors has increased, the education, health, water and sanitation sectors remain adversely affected by a marked urban bias combined with regional and, in some cases, gender inequalities.

3. **The economy is susceptible to fluctuations in international markets and climate shocks.** The economy relies heavily on the performance of the cotton sector and gold mining (43 and 36 percent of exports, respectively). The country benefitted from a boom in the mining sector since 2009-2010, with gold taking over cotton as the leading export. At least 3 million Burkinabe continue to derive their direct or indirect livelihoods from cotton which provides a net transfer of more than US\$200 million into rural areas. Agriculture mostly remains a fundamental source of livelihood for a large portion of the population, representing 40 percent of GDP, and remains highly dependent on variable weather patterns. However, less than 18 percent of the land in Burkina Faso is cultivable due to poor soil quality and recent droughts and desertification. The country has experienced deteriorating climatic conditions in recent years. The agricultural campaigns in 2008, 2009 and 2010 were marked by significant flooding, followed by localized periods of drought that negatively affected harvests and resulted in an increase in basic food prices nationally. These trends are in line with the National Adaptation Program of Action (NAPA) which described how climate change will lead to: (i) a net decrease in water availability, (ii) a decline in the biomass potential, (iii) a drastic reduction and degradation of pastures and more broadly will lead to a noticeable drop in productivity of all socio-economic sectors.

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<sup>1</sup> Except if mentioned otherwise, all the data are extracted from the FIP Investment Plan and the REDD+ Readiness Proposal Plan.

4. **Because agriculture is the leading sector in the economy, local rural populations depend heavily upon the country's steadily depleting soil, water and vegetative resources.** Situated in the Sahel-Sahara region, Burkina Faso is particularly affected by soil erosion due to wind and water, loss of soil nutrients and bush fires. It is estimated that 34 percent of the country has deteriorated as a result of anthropogenic factors, continuing at a rate of 105,000 to 250 000 hectares each year, while 74 percent of arid and semi-arid areas are affected by desertification or land degradation. Local populations are unequipped to deal with climatic changes and, as demonstrated during the 2007 droughts and the 2009 floods, this can lead to devastating damage and loss of life. Given that scientists have observed a rapid increase in the occurrence of severe weather and erratic climatic conditions, adaptation to climate change will be an increasing priority.

## **B. Forest Sector**

### *Context and drivers of deforestation*

5. **Forest and wooded savanna comprise a significant portion of Burkina Faso's arable land.** While the country does not have a clear definition of forest, nearly 12.9 million ha can be classified as forested based on forest surveys from 2002, roughly 43 percent of the territory. Nearly two-thirds of forest cover, over 8 million ha, is shrubby and woody savanna, and only 4 million ha are designated as "classified" forests—forests under Government management.

6. **Forest resources are critical for livelihoods and the economy.** Forest-based economic activities including the production of charcoal and the sale of forest products make up an important part of many rural household incomes – over 25 percent in some cases – as well as contributing 5.6 percent to GDP. Forests and woodlands provide important environmental and social services including soil fertility, erosion control, watershed protection, and biological diversity (animals for pollen/seeds dissemination, etc.). Such services lead to indirect economic benefits and increase climate resilience at the landscape level. Forests and woodlands provide additional non-economic benefits to local populations (medicinal plants, hunting, fruits/mushrooms, etc.) that can alleviate the impacts of drought and other climate related challenges. In addition, many tree species (shea tree, nere, gum arabic, etc.) that provide non timber products are part of traditional preservation and usage practices, mainly by women, underscoring the important role that women have to play in any strategy aiming at preserving forest resources.

7. **Forest assets are under threat as a result of land use changes and increasing demographic pressure.** Deforestation is mainly caused by expansion of agricultural land, as well as grazing and over exploitation of forest resources (timber, charcoal and non-timber products). Even the protected area system which covers 14 percent of the country's surface and includes hunting areas, game ranches, national parks, and ecological corridors is under pressure. Some areas, such as the PONASI (Po-Nazinga-Sissili) ecosystem, seem to be facing pressure at a much faster rate than elsewhere (overgrazing, agribusiness). These changes pose local challenges to and also threaten to hamper the country's long term development.

8. While the results from the Second National Forest Inventory (IFN2) survey in 2012/2013 are being finalized, trends observed between 1992 and 2002, the years of two past forest

inventories, provide an indication of trends in deforestation and especially forest degradation. Deforestation rate estimates range from about 0.2 to 1.5 percent per year; it is currently agreed that overall deforestation is approximately 105,000 ha/year, 0.83 percent, and although it is difficult to assess, forest degradation is estimated to be at least 0.5 million ha/year. Over 70 percent of land cover change observed between 1992 and 2002 occurred in areas characterized as shrubby savanna, primarily as a result of agricultural activities that led to over-usage and fallow areas that were not allowed enough time to regenerate. The result was land conversion and degradation to a point where land can no longer be naturally regenerated.

9. Deforestation in Burkina Faso is characterized by direct drivers that correspond essentially to different types of encroachment on forested areas<sup>2</sup>:

- Livestock activities including cattle, goat and sheep husbandry;
- Agricultural expansion including mostly cotton production and food production (subsistence agriculture combined with population growth);
- Overharvesting of firewood due to increasing demand;
- Overharvesting of non-timber forest products;
- Bush fires;
- Gold mining.

10. Indirect drivers of deforestation and forest degradation result from a complex interplay between socio-economic, political, technological, and cultural factors. This leads to an environment conducive to the emergence of one or more direct drivers. Indirect drivers are related to:

- Economic and demographic factors: growth of impoverished rural populations who depend on forest products for survival;
- Land management: delays in implementing land tenure reforms, insufficient tools for sustainable land use planning and management, insufficient enforcement;
- Technical capacities and knowledge: lack of capitalizing on effective forestry and sustainable land management practices, weak control, lack of resource knowledge;
- Weak stakeholder capacity: at decentralized and central levels;
- Governance: difficulties in enforcing laws and regulations relating to the forestry sector; and
- Weak access to markets which makes it difficult for farmers to intensify production and pushes them to clear forest areas for cultivation.

#### Regulatory context and forest governance

11. **Sustainable management of natural resources is a cornerstone of the national plan to accelerate growth and sustain development.** After a comprehensive assessment of the ten-year implementation of the Poverty Reduction Strategy Papers (PRSP), Burkina Faso prepared a Strategy for Accelerated Growth and Sustainable Development (SCADD) through a participatory

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<sup>2</sup> The direct and indirect drivers of deforestation have been extensively described in the FIP Investment Plan (that gathers most of the literature on the topic) as well as in the R-PP.

process that engaged a wide variety of stakeholders across the country. The strategy envisions the sustainable management of natural resources as a cornerstone of agricultural development, particularly through an increased pace of reforestation, exploitation of forest wealth and protection of wildlife resources. The National Program for the Rural Sector (PNSR) provides a cohesive framework for development objectives in rural areas to strengthen coherence and coordination among sectoral interventions in rural development. The PNSR specifically seeks to integrate livestock management, agriculture development and environment policies into a multi-sector programmatic approach to development. The PNSR is now the coordinating framework for programming and implementing the interventions in rural areas in Burkina Faso and constitutes a clear institutional framework for the proposed interventions of this grant.

12. Burkina Faso's legal framework for forest and land management is extensive and already includes many aspects of forest governance. The most important texts related to forest governance are:

- Act no. 003-2011/AN of April 5, 2011: the Forest Code in Burkina Faso, which replaces the previous code (Act no. 006/97/ADP of January 31, 1997, the Forest Code of Burkina Faso);
- Act no. 034-2009/AN of June 16, 2009: rural land tenure in Burkina Faso and its implementing regulations;
- Act no.006-2013/AN of April 02,2013: the Environmental Code of Burkina Faso;
- Act no. 055/AN of December 21, 2004: the General Local Government Code in Burkina Faso;
- Decree no. 98-306/PRES/PM/MEE/MEF/MCIA of July 15, 1998, regulating the exploitation and marketing of wood products in Burkina Faso;
- Decree no. 98-310/PRES/PM/MEE/MATS of July 17, 1998 on the use of fires in rural Burkina Faso;
- Joint Order no. 01-048/MEF/MATD/MEE of November 8, 2001 on the establishment of a fund for forest management in Burkina Faso.

13. **The Government of Burkina Faso is making considerable efforts to reform land tenure and forest regulations.** The visions expressed in the Forest Code of 2011 and the Rural Land Act of 2009 demonstrate a willingness to address the limitations and injustices of previous codes. For example the Rural Land Act seeks to convey legitimacy and legality to traditional land management arrangements by recognizing rights that were established on the basis of an oral tradition (implicit transmission, recognition of the legitimacy of the community). In addition, the roles of Ethnic minorities and traditional leaders are acknowledged by Decision 2/CP.16 (adopted by Burkina Faso, as a Party to the United Nations Framework Convention on Climate Change, UNFCCC) ensuring that REDD+ activities implemented with local communities will include appropriate safeguard measures.

14. The recent improvements are also the result of a long term effort that started with the National Program for Decentralized Rural Development (PNDRD – launched in 2000), which was designed as a fifteen year program to support the decentralization process, with the common objectives of fighting poverty and promoting sustainable development in rural areas.

### Forest governance and decentralization

15. As part of the preparation of the FIP investment plan, the World Bank has initiated analytical work on forest governance with the preparation of a country forest governance assessment study. This study highlighted the fact that the Government of Burkina Faso has made considerable progress in improving forest governance (a complex concept which inter-connects economic, administrative, legal and social factors). However many areas still require attention: Although some of the main instruments for adequate forest governance are in place at the national level, their implementation at the local level represents a real challenge at all levels (local administration, decentralized office of the central services, local organizations (GGF), local communities) Many efforts are needed to empower local communities in the management of their forests

16. Decentralization implies a new logic of collaboration between the central government and its decentralized services, local authorities and civil society organizations. Natural resources management becomes everybody's business and depends on the ability of these actors to work together. Lack of such cooperation is seen to be a major barrier to scaling up reforestation in Burkina Faso. Because Burkina Faso is still in the early stages of the decentralization process, the local governments have not yet embraced their new responsibilities nor do they have the adequate technical capacity to manage the natural resources, leading to governance issues.

17. Following the assessment of the current situation, forest governance has been identified as one indirect factor of deforestation and the REDD+ strategy is an opportunity for the government to identify the governance weaknesses and possible ways to improve it.

### REDD+ in Burkina Faso

18. Burkina Faso's experience with integrated agro-sylvo-pastoral rural development approach to land planning provides a natural bridge to the REDD+ process, even if as a Sahelian country it does not seem to be an obvious forest related mechanism. Based on Burkina Faso's extensive, and successful, experience in participatory management of woodland and forest resources over the past 30 years, Burkina Faso was selected to be one of eight pilot countries of the Forest Investment Program (FIP) of the Strategic Climate Fund by a group of experts appointed through the FIP Sub-Committee. In Parallel, Burkina Faso joined the Forest Carbon Partnership Facility (FCPF), first as an observer, and later as a Participant upon its formal acceptance into the FCPF in December of 2013. The REDD+ approach represents an opportunity to conserve natural resources that will support the livelihoods of the rural populations in the long term. REDD+ is also an opportunity to make significant changes in land use and forest management, agro-forestry and farming systems to reduce forest related GHG emissions and contribute to the mitigation of global climate change.

19. **Burkina Faso offers a unique opportunity for a triple win of mitigation, adaptation, and poverty alleviation.** Burkina Faso's REDD+ approach derives its originality from three aspects: (i) its contribution to the REDD+ approach, reflecting the "ecological sensibilities" of a Sahelian country and potential to serve as a model for other countries with similar Sahel-type ecosystems; (ii) its innovative approach to managing dry forests and the broader landscape vision of REDD+ that includes trees outside of protected areas; and (iii) the potential to reduce poverty by focusing on the more densely populated areas outside of forests rather than only on protected

areas that have lower population densities. Enhancing the management of forest resources will strengthen the adaptive potential in response to the adverse impacts from climate change and will create positive spill-over effects for poverty alleviation, such as enhanced forest and agricultural productivity (e.g. agroforestry).

20. **This grant supports activities that will form the foundation for a strong REDD+ program across the three phases of REDD+.** Generally, REDD+ has three phases: (1) *readiness phase*, which focuses on efforts to develop a national REDD+ strategy, an institutional framework, a monitoring system, as well as increase the understanding of national dynamics of deforestation in order to elaborate a reference scenario; (2) *investment phase*, which is the implementation of the national REDD+ strategy and other activities leading to more effective sustainable forest and woodland management and land use change and; (3) *crediting phase*, for which performance based payments are made for quantified forest emission reductions and removals against agreed reference levels. This grant will support the readiness phase of REDD+, focusing on strategic activities that will bolster implementation of REDD+ that are not covered by other financing sources. The figure 1 below illustrates the phases of REDD+ and how complementary projects and financing build on each other.

### Forests and woodlands, landscape & REDD+ in Burkina Faso Existing portfolio ~ \$100 million

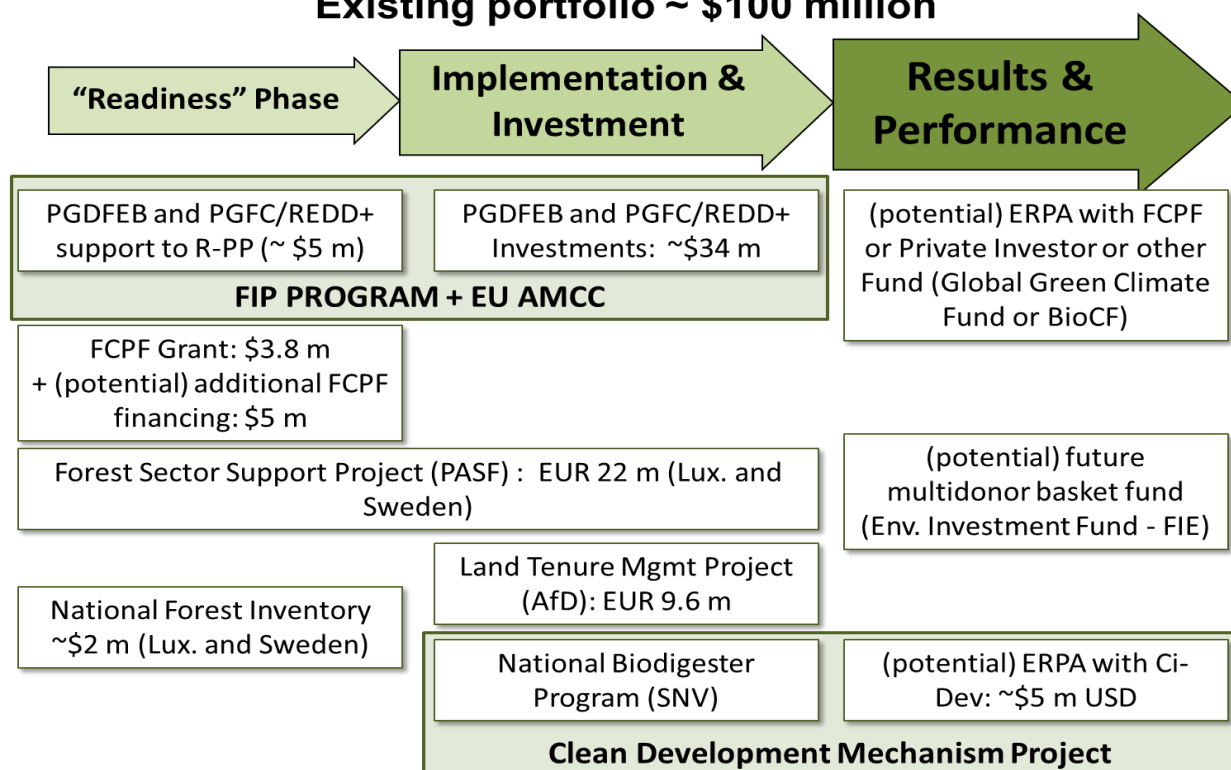


Figure 1: REDD+ process in Burkina Faso

21. **Burkina Faso has adopted a pragmatic, learning-by-doing, approach to REDD+.** Burkina Faso is using secured sources of financing to implement investments that are part of a REDD+ approach in tandem with readiness activities that strengthen the overall process.

Financing through the Forest Investment Program (FIP) and other programs will not only inform the REDD+ process with concrete knowledge and experience but will contribute directly to REDD+ readiness activities described in Burkina Faso's Readiness Preparation Plan (R-PP) – see Annex III for details. This should allow Burkina Faso to move ahead rapidly in the REDD+ process as it is implemented through multiple projects and grants, which have either supporting components (for the Readiness phase) or an investment component related directly or indirectly to the reduction of deforestation and forest degradation. The major investments supporting the REDD+ readiness phase as well as related investment phase are:

- *Forest Investment Program*, which is implemented through two projects, the Decentralized Forest and Woodland Management Project (DFWM – PGDFEB by its acronym in French) financed through the World Bank (WB) and European Union (EU) and the Classified Forest Management Program/ REDD+ (PGFC/REDD+ by its acronym in French) financed through the African Development Bank (AfDB). The first component of each project is supporting the REDD+ Readiness process.
- *Forest Sector Support Program* (PASF by its acronym in French) financed by Luxemburg and Sweden that is promoting a basket fund for future REDD+ investments and supporting the Ministry of Environment and Sustainable Development (MEDD) in their efforts to implement the National Program for the Rural Sector (PNSR). This basket fund is planned to serve as a financing tool to channel financial resources for environmental activities, including REDD+ strategy implementation.
- *Land Tenure Management Project*, financed by the French Development Agency (Afd), which is piloting new land use management governance systems at the decentralized level from which lessons will feed into the REDD+ strategy.

22. Support provided for readiness activities by each grant are represented in table 1 below. The amounts available for each activity in detail are provided in Annex V.

	Financing provided by:	FCPF	FIP-WB	FIP-AfDB	Other (IFN, PASF)
<b>Institutions</b>	Supporting National REDD+ Committee & REDD+ Focal Point, Technical Assistance	X	X		X
	Grievance & Redress Mechanism	X			
	Consultations		X		
<b>REDD+ Strategy</b>	Designing the National Strategy (including additional studies on the drivers of deforestations)	X	X		
	SESA	X			
<b>REL (Baseline)</b>	Technical support to elaborate the Baseline Model			X	X
	External independent Evaluation	X			
<b>MRV</b>	Technical Assistance, equipment, data collection			X	X
	Co-benefits monitoring system	X	X		
	External independent Evaluation	X			
<b>Monitoring/Coordination</b>	Operating Costs, Studies, Comms	X	X	X	X

*Table 1: Donor coordination for the R-PP implementation*

## C. Institutional Context

### Institutions

23. . The organizational framework for implementing the REDD+ readiness activities (through the FIP, this FCPF grant as well as other donors' project), which is close to what was proposed initially in the R-PP, will avoid the creation of new structures, simplifying and streamlining coordination. It will follow the structure below:

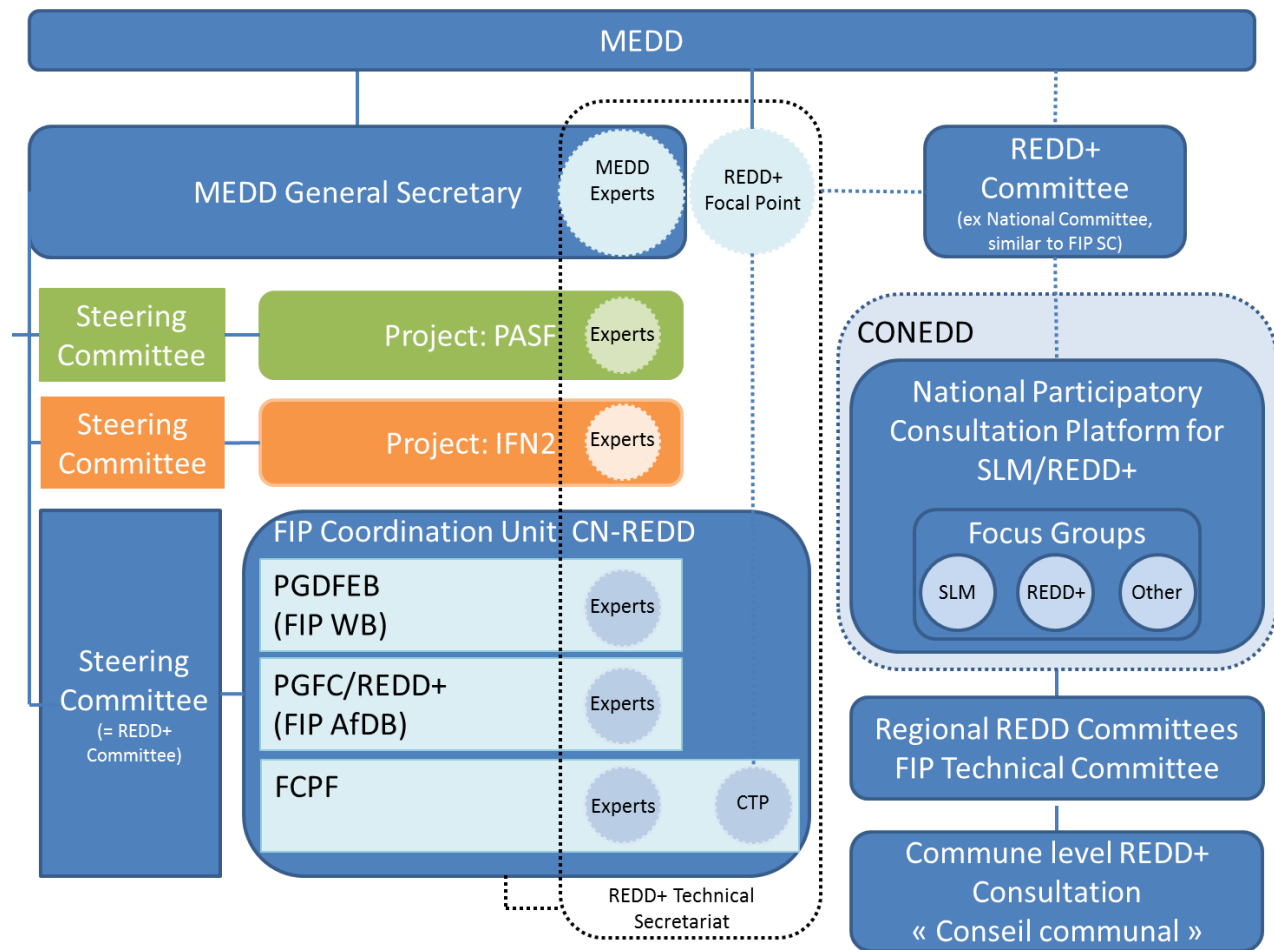


Figure 2: Institutional arrangements

24. This temporary governance scheme is mostly designed to support the definition of the strategy and the implementation of the REDD+ Readiness. The future REDD+ strategy will define the final an institutional arrangement that will oversee the implementation of future REDD+ investments and activities.

25. **Strategic governance:** The government, under the leadership of the MEDD will maintain the key role of validating and implementing REDD+ related policies. To avoid multiplying actors and duplicating efforts, the Government will use the FIP Steering Committee as an



intersectoral REDD+ Committee to facilitate dialogue with other Ministries, ensure coherence with the SCADD and compliance with the legal framework.

26. Within the MEDD, and reporting both to the Minister and to the REDD+ Committee, a REDD+ Focal Point will be designated to ensure overall coherence of the REDD+ and FIP processes and to oversee the sound implementation of R-PP activities.

27. A National Platform will be established within the National Council for the Environment and Sustainable Development (CONEDD), which in turn reports to the Prime Minister. Commune-level and regional level REDD+ consultations will use existing commune-level and regional consultation and coordination frameworks and will be expanded to include non-statutory members to account for the specific needs of REDD+.

28. MEDD technical experts and external (short and long term) consultants will regularly meet and coordinate as an informal REDD+ Technical Secretariat created within the MEDD. A Lead Technical Assistant (“Conseiller Technique Principal – CTP” financed by the grant) within the FIP Coordination Unit will be in charge of the guiding and coordinating technical experts. The work program will be designed by the FIP Coordination Unit under the guidance of the REDD+ Focal Point.

29. This organization is expected to evolve toward more integration with the PNSR. The definition of the REDD+ strategy will be an opportunity to open broad and inclusive discussions on the institutional arrangements to implement the REDD+ activities and especially on the role of the future Environment Investment basket Fund (FIE) – currently under construction.

30. **Operational implementation:** Implementation will be coordinated by the REDD+ Lead Technical Assistant within the FIP Coordination Unit with close supervision by the REDD+ Focal Point. The informal REDD+ Technical Secretariat will draw upon experts in Monitoring and Evaluation, knowledge management, Climate Change and other *ad-hoc* short term consultants financed by multiple projects as needed. Each project will implement its work program according to its own processes but in a manner that assures complementarity.

31. As part of the general arrangements, the FCPF grant will be implemented by the FIP Coordination Unit using the same arrangements as for the FIP Component 1. Operational needs and work program will be proposed by the FIP Coordination Unit (with the support of the Lead Technical Assistant), discussed and agreed with the REDD+ Focal Point and the General Secretary, validated by the REDD+ Committee/FIP Steering Committee and implemented with support from the FIP Coordination Unit through the experts in the REDD+ Technical Secretariat.

#### **D. Relationship to CPS**

32. **The grant is in line with the FY13-16 Country Partnership Strategy (CPS)**, which was launched on September 19, 2013. The strategic thrusts of the CPS are to help the country to: (a) accelerate inclusive and sustained growth; (b) enhance governance for more efficient social service delivery; and (c) reduce economic, social, and environmental vulnerabilities. Efforts to improve governance and ensure gender equality will also be incorporated into activities.

33. The proposed activities are also in line with the four pillars of the Strategy for Accelerated Growth and Sustained (SCADD): (1) development of the pillars of accelerated growth; (2) human capital development and promotion of social protection; (3) improved environmental governance and; (4) cross-cutting priorities and themes such as gender, demography, natural resources and capacity building. While aligning with the SCADD, the grant also aims at upgrading these national strategies and increasing the emphasis on REDD+, climate resilience and low-carbon development. Such an influence on the country's major development strategies may have a transformational impact over the long term.

34. In addition, this grant for REDD+ Readiness activities is aligned with the National Program for the Rural Sector (PNSR), which provides a cohesive framework for development objectives in rural areas to strengthen coherence and coordination among sectoral interventions in rural development. While the PNSR does not mention REDD+ specifically, it seeks to integrate livestock management, agriculture development and environment policies into a multi-sector programmatic approach to development – which is the long term objective of the REDD+ approach.

## **II. Proposed PDO / Results**

### **A. Proposed Project Development Objective(s)**

35. The proposed Project Development Objective is to reinforce Burkina Faso's capacity to coordinate the REDD+ readiness process including a socially and environmentally sound national strategy and other key governance systems for REDD+ implementation.

36. In the longer term, it is expected that this grant will help Burkina Faso measure and evaluate the various co-benefits of sound and integrated agro-sylvo-pastoralist rural development strategies and indirectly strengthen Burkina Faso's response to climate change. In addition, with the support of this grant, Burkina Faso is expected to be assessed as eligible to benefit from any future REDD+/carbon mechanism that would either finance the implementation of the REDD+ strategy (phase 2 of REDD+) or purchase carbon emission reduction (phase 3).

### **B. Key Results**

37. Key results expected include:

- a. An effective and operational REDD+ institutional scheme, including a grievance and redress mechanism that is functional at national and sub-national levels for REDD+ readiness coordination and implementation is established;
- b. A socially and environmentally sound national REDD+ strategy that connects the objectives of the SCADD and the reduction of deforestation and forest degradation and includes elements related to the social implication, the cost-effectiveness and the environmental impacts is adopted;
- c. A monitoring system for co-benefits related to REDD+ is operational;
- d. Additional sources of financing for expanding deforestation and forest degradation mitigation are identified.

### **III. Project Context**

#### **A. Concept**

##### **1. Description**

38. This grant builds on Burkina Faso's R-PP and the FIP Investment Plan that serves as the framework for the process known as REDD+ Readiness. The R-PP approved by the FPCF in December 2013 is organized in six sections: 1) Organization and Consultation; 2) Development of the national REDD+ strategy; 3) Development of a baseline scenario; 4) Measurement, Reporting, and Verification Systems; 5) Budget and Timeline and; 6) Monitoring Plan and Productive Measurement Framework.

39. Most of the activities outlined in sections 3, baseline/reference scenario, and 4, monitoring, reporting and verification, of the R-PP will be addressed through interventions funded by the FIP and channeled through the African Development Bank, while some of the activities outlined in sections 1, organization and consultation, 2, national REDD+ strategy, and 6, monitoring framework, of the R-PP will be addressed through interventions funded by the FIP and channeled through the World Bank. Nevertheless, a financing gap remains and this grant seeks to fill the gap and finance activities that are still not addressed by the two FIP projects. There is a strong need for coordination among the various initiatives, and the REDD+ program provides an overarching framework that will ensure complementarity among different initiatives. The breakdown of funding for REDD+ Readiness activities can be found in Annex II.

40. FCPF Readiness funding will be used to strengthen organizational arrangements for REDD+, to carry out studies that will deepen the understanding of the strategic options for REDD+, to strengthen the REDD+ implementation framework, to strengthen the social and environmental safeguard assessment process, to develop a national monitoring, reporting and verification systems that includes the monitoring of co-benefits.

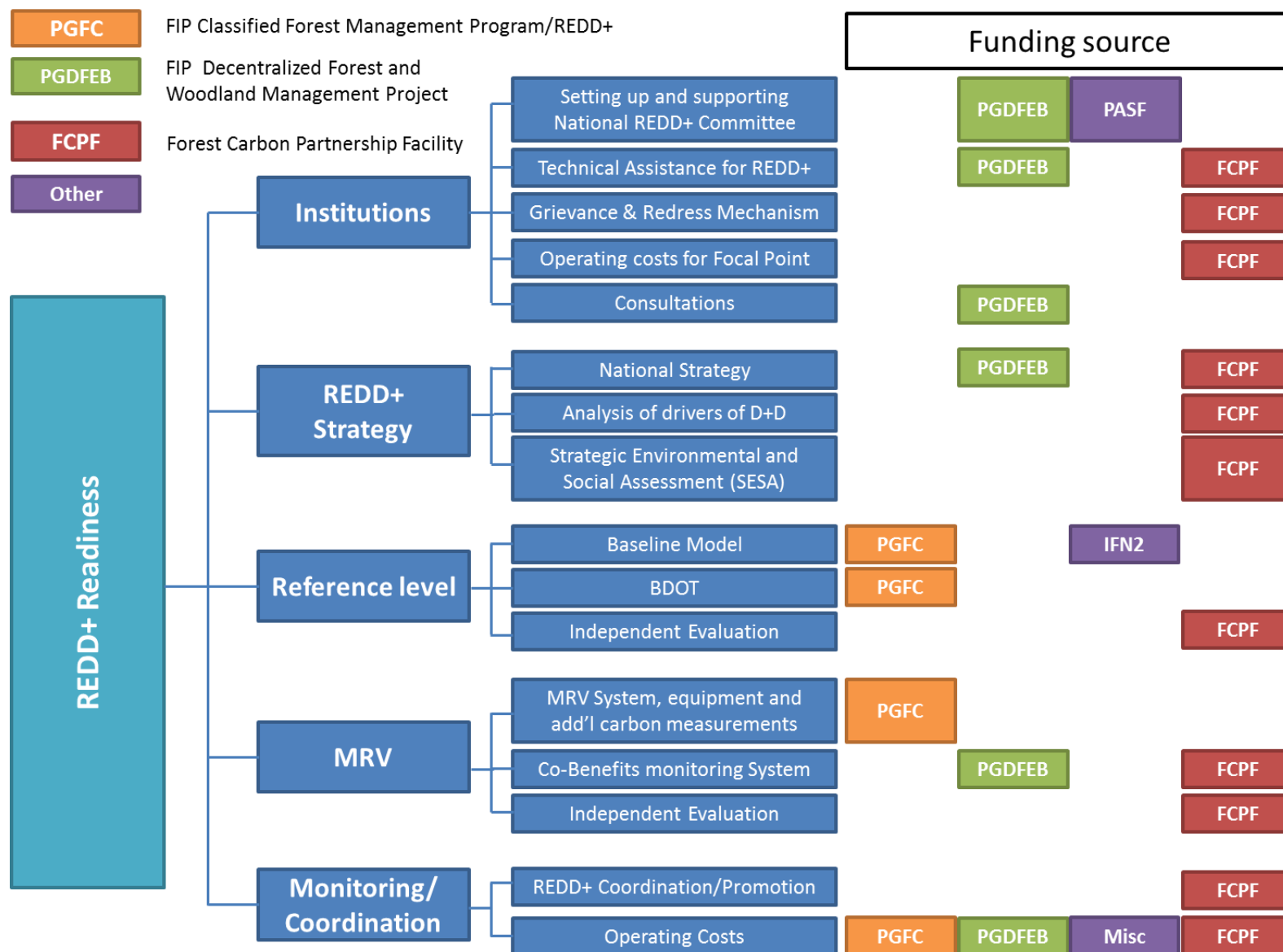


Figure 3: Coordination Unit

## 2. Project Components

41. **Component 1: Strengthening REDD+ and forest governance (US\$1.6 million).** The costs of the institutional arrangements described above (creating the various bodies as well as the operating costs for the meetings) will largely be supported by other programs (such as the FIP). However, this FCPF financing will support the efficient governance of the REDD+ process and facilitate the technical coordination of the team working on the REDD+ agenda. In addition, it will be used to set up tools that will facilitate the planning and monitoring of REDD+ related activities.

42. **Activity 1.a: Building REDD+ technical capacities (about \$US550.000).** This activity will include:

- a. The renewal for 2 years of the Lead Technical Assistant (“Conseiller Technique Principal” or CTP), hired on the FIP Preparation Grant to support the REDD+ process. The CTP will coordinate the REDD+ Technical Secretariat under the supervision of the FIP Coordinator and with the guidance of the REDD+ Focal Point.
- b. Local Technical Assistance (full time and/or part time) to support the REDD+ process as needed.
- c. Support to communication and knowledge management tools and products at national and international levels. This activity will be used for operating budget to support the REDD+ Focal Point, FIP Coordination Unit and technical experts (travel, workshops, field missions and training).

43. **Activity 1.b: Development of a Grievance and Redress Mechanism (about \$US300.000).** Complaints and appeals may evolve during the development of REDD+ activities including conflicts between individuals, particularly concerning land ownership (which may have an impact on carbon ownership) or decisions taken in the preparation process of REDD+. They may be settled through non-litigation or litigation, the first being favored before resorting to the second. The objective of the activity is to design and operationalize a sound feedback and grievance redress mechanism (FGRM) based both on relevant existing feedback and grievance redress mechanisms and arrangements and appropriate, new arrangements to address any relevant feedbacks and grievances during the REDD+ readiness process. The FGRM is also an opportunity to improve land use and forest governance at the local level by offering an innovative tool to register, notify, report and resolve (at local or national level) potential conflicts or concerns over land use and forest. Therefore, the FGRM should be conceived with a broader scope and duration than the core REDD+ focus.

44. For that purpose, a study will be carried out to determine the most appropriate Grievance and Redress Mechanism for the context of Burkina Faso (based on the existing national “Mediateur de la République” system and the various “Cadres de Concertation” and the “commissions foncières” in each rural municipality) as well as recommendations for implementation. This study will also assess ways forest use-related conflicts are currently prevented or managed or solved at local level and the ways the planned mechanism can be linked to traditional practices and strengthened them when relevant. The grant will then support the establishment of a grievance and redress mechanism and ensure its integration with the other

conflict resolution tools induced by the decentralization process and the transfer of competences to the municipalities.

45. **Activity 1.c: Setting up partnerships with the Ministry of Justice and Ministry of Interior for Forest Law promotion and enforcement (about \$US350.000).** The technical Ministries operating in rural areas have been closely associated with the REDD+ approach for land use planning, however formal law enforcement will require complementary actions in partnership with the Ministry of Justice, the Ministry of Interior and Customs.

46. This activity will support setting up practical actions and procedures for law enforcement related to the management of forest resources and other related REDD+ activities. Activities include, but are not limited to, specific training on the Environment Code and the Forest Code targeting (i) “OPJ” and “OPA” from “Gendarmerie”, Customs, Police and “Eaux et Forêts” corps’, (ii) judges and lawyers and (iii) the definition of clear procedures regarding the way infractions are treated to avoid irregularity and increase the efficiency of control. This activity will also undertake an analysis of how delays between infractions and judgment can be reduced. Indeed, a quick, independent and fair legal response after any law breach has been identified as one of the major signs of a good forest governance.

47. **Activity 1.d: Development of a Monitoring System for Co-Benefits (about \$US400.000).** Identifying environmental and social co-benefits must be identified in addition to the reduction in GHGs are an important part of a REDD+ program. The purpose of this monitoring is, in part, to assess the non-monetary and long-term effects of the implementation of a REDD+ strategy such as the positive effects of REDD+ on biodiversity, soils, water resources, the fight against desertification, poverty reduction, development, gender equity, governance, food security, and culture and point to the complementarity with the approach adopted in the SCADD. A methodology for measuring and systematically collecting the required information for co-benefits related indicators will be developed. The methodology will also identify a reporting format specific to these indicators. Collection of data in the field will be financed by the FIP DFWM Project.

48. In a later phase, the FCPF grant will finance an independent evaluation study to review the quality of the co-benefit measurement and monitoring system.

49. **Component 2: Development of National REDD+ Strategy (US \$1.5 million).** Burkina Faso will develop a National REDD+ Strategy that will seek to address the complex dynamics that lead to deforestation and forest degradation and will drive subsequent investments in the country. To prepare the strategy, the grant will finance various studies to address gaps in data regarding the impact and quantification of some direct and indirect drivers of deforestation.

50. **Activity 2.a: Design and elaboration of the REDD+ strategy (US\$750.000).** The REDD+ strategy will be drawn on the initial work executed during the preparation of the R-PP and for the FIP Forest Investment Plan. Four main areas have been identified as strategic pillars for a national REDD+ strategy that will allow the country to address the key drivers of deforestation and forest degradation. The following pillars were identified through a participatory process of consultations with stakeholders in various sectors and regions of the country:

- a. Land use planning throughout rural space in order to facilitate effective and appropriate land use and land use management for different activities (agriculture, livestock, forestry, agro-silvo-pastoral activities, mining, urban, etc...);
- b. Secure land rights: application of the recent laws and regulations regarding land rights, to provide an enabling environment for investments in improved land/forest management;
- c. Management of agro-silvo-pastoral systems: for the sustainable management of agricultural, grazing and forest lands within a sustainable land-use management system;
- d. capacity building and of the harmonization of policies, as well as promoting good governance of natural resources and particularly forest in order to create conditions for the implementation of these three major areas of intervention.

51. In addition, the strategy is expected to have a strong focus on governance, mainly by improving public transparency (especially for fiscal and budgetary processes), access to information, empowerment and participation of all stakeholders, transparency, forest law enforcement. It should assess how the recent transfer of the “natural resource management” responsibility to the municipality (as part of the decentralization process) is being implemented and how it could support the REDD+ approach. The strategy will also focus on how improved governance can increase private investments as well as forest product processing by small and medium forest enterprises, thus leading to an increased interest for conserving the forested areas.

52. Finally, the strategy will propose a revised design of the institutional arrangements in order to (i) reinforce the cross-sectoral nature of REDD+ and (ii) channel efficiently the potential additional resources that may come from various sources to support Burkina Faso’s REDD+ strategy. In particular, it will fine-tune the role of the future Environment Investment Fund (FIE) that is currently under construction and that aims to operate as a basket fund.

53. The elaboration of the strategy will be led by the REDD+ Focal Point with close support of the REDD+ Lead Technical Assistant, under guidance and control of the REDD+ National Committee. To avoid multiple procurement procedures for hiring highly specialized short term experts, a consulting firm will be contracted for a period of 30 months to provide on-demand technical assistance. The consulting firm will provide a pool of experts (that would include a REDD+ expert, a forestry expert and a social specialist for the participatory consultations – in addition to other relevant experts as needed) that will be made available for an agreed upon amount of time for the completion of the strategy. In close coordination with the consultations organized through the FIP, the consultant will ensure the organization of local, regional and national workshops in order to effectively involve different stakeholders in discussing, commenting, endorsing and approving the strategy.

54. **Activity 2.b: Enhancing the Informational Base related to REDD+ (US\$650.000).** This activity will finance in part or in whole studies that analyze different threats and causes of deforestation and forest degradation. These studies will contribute to the development of a detailed understanding of the threats as well as the impacts of different activities, as well as be carried out in articulation with the studies implemented to design the reference scenario. Studies to be financed include: (i) studies to quantify the impact of the main drivers of deforestation and forest degradation and reduce the current uncertainty of deforestation assessments (in particular over-grazing and bush fires) (ii) studies to assess the link between social issues and deforestation

with a focus on the impact of the migrations within the country on the land pressure and on the links between deforestation and livelihoods, gender and poverty (providing key quantitative and qualitative socio-economic data); (iii) quantitative analysis of the relation between deforestation with other sectors' strategy, in particular the mining sector, (iv) lessons learned from productive land use systems – including traditional systems. Those studies would focus on the technical aspects (what agro-sylvo-pastoral system is the most efficient depending on the areas) and on the land tenure system (private ownership by urban agro-business structures vs traditional forest management regulations).

55. . These inform the development of strategies and actions to address threats as part of the national REDD+ strategy.

56. This activity will also focus on enhancing the strategic engagement of sectors that may not be well informed about REDD+ such as the mining sector. Opportunities for engaging sectors that are strategically important to a comprehensive approach will be carried out.

57. **Activity 2.c: Strategic Environmental and Social Assessment (SESA) (about US\$100.000).** This activity will support a Strategic Environmental and Social Assessment (SESA) that will inform the national REDD+ strategy. The SESA will contribute to the REDD+ readiness process in Burkina Faso 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.

58. **Component 3: Readiness Monitoring, Coordination and Communication (US\$700,000).** Activities will be carried out to allow the REDD+ National Committee, the FIP Coordination Unit and the REDD+ Focal Point to implement and supervise REDD+ Readiness preparation and to report to the FCPF Participant Committee about the progress toward Readiness.

59. **Activity 3.a: Operational Support for grant implementation (about US\$200.000).** This activity will cover supervision, evaluation and external control. It will finance additional administration management costs for the FIP Coordination Unit that are directly related to the implementation of the FCPF grant, such as additional support staff (in particular for fiduciary management), additional equipment purchase for REDD+ team and other various incremental operational costs (missions, training...).

60. Because the FIP is already paying for fixed costs, the FIP Coordination Unit will not request a contribution from the FCPF grant for its role as fiduciary agent. However, the FCPF grant will finance any incremental costs that could be directly linked to the FCPF grant management (such as additional staff, additional supervision missions, additional equipment...). It is expected that external audit costs will be paid for by the FIP DFWM Project and cover both facilities.



61. **Activity 3.b: REDD+ Readiness compliance, control and monitoring (about US\$500.000).**

In compliance with the guidelines and the monitoring framework developed by the FCPF, this component will support the development of effective Monitoring and Reporting systems that can feed into eventual verification, in line with component 6 Monitoring Plan and Framework for Productivity Measurement of Burkina Faso's R-PP. This includes:

- a. the definition of relevant indicators to follow progress toward Readiness chosen among the 34 criteria set out in the Readiness Package Assessment Framework developed by the FCPF;
- b. the external review (audit) of the national baseline and MRV system to ensure that they are reliable and compliant with international standards and requirements, and can be used for carbon finance purposes;
- c. reporting to FCPF Participant Committee, including the preparation of the R-Package;
- d. independent reviews and audits to update the readiness assessment and quality control for the R-Package.

62. The ultimate goal of the subcomponent is to develop the "R –Package " and REDD+ documents that would eventually facilitate REDD+ or Carbon financing, such as through the Carbon Fund.

### 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.

64. Key risks are linked to:

- a. **Uncertainty of the REDD+ process, both at international level and within Burkina Faso:** REDD+ is a mechanism that is still evolving and has attracted significant 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 Burkina Faso. In addition, Burkina Faso, as a Sahel country with dry forest and very specific issues of land management, may not be seen as a natural REDD+ country.

*Mitigation measures:* Burkina Faso needs to make its case stronger at the international level to appear as a natural REDD+ country and needs to bring to UNFCCC discussions – in particular in the technical bodies – the specific agenda of dry forest and densely populated forested areas. In addition to its engagement in REDD+, Burkina Faso should consider the Land Use, Land Use Change and Forest (LULUCF) agenda and advocate for a mechanism that targets carbon in general and avoid a *threshold effect* between forest and non-forest land.

- b. **Institutions and governance structures created for managing REDD+ may not last if carbon financing resources are not received.** Experience from other countries demonstrates that setting up a complex institutional framework before resources are identified and confirmed could be very costly and inefficient.

*Mitigation measures:* The institutional framework has been designed with minimal incremental recurring cost for REDD+ supervision and orientation. All of the REDD+ related coordination structures have been integrated into existing bodies and committees with similar purposed have been consolidated. In addition, the grant will help Burkina Faso to measure and evaluate the various co-benefits of REDD+ and carry out an economic analysis of engaging in a broad REDD+ policy – based primarily on “no regret” scenarios and not only on hypothetical carbon finance.

- c. **Difficulties in broadening the scope of REDD+ to engage beyond the forest sector.** This risk is shared commonly with other REDD+ countries since the drivers of deforestation are predominantly outside of the forest sector and directly linked with short term economic benefits.

*Mitigation measures:* Supporting strong cooperation between the sectoral Ministries and their implementing agencies will be promoted as part of grant design. Relevant Ministries as well as other representative groups are included in the interministerial steering committee which will meet throughout the course of the National REDD+ Strategy development process.

- d. Disconnect between the expectations from the population and the concrete REDD+ scheme design in the country.

*Mitigation measures:* The participatory process promoted across all REDD+ Readiness activities will ensure the dissemination of targeted messaging when it comes to carbon payments and community benefits. Any eventual REDD+ financing will be developed in line with national programs such as the basket fund for the environment. Links with the DGM will ensure appropriate information and consultation with civil society. Lessons from ongoing investments from programs such as FIP will inform the REDD+ process and lessons will be incorporated into benefit sharing strategies.

## **B. Implementing Agency Assessment**

65. **Program Oversight and leadership** will be the responsibility of the MEDD, and specifically under the operational guidance of the Secretary General.

66. **The FIP Steering Committee will act as an intersectoral Executive National REDD+ Committee** as articulated in the R-PP to supervise the definition and implementation of the

REDD+ policy in Burkina Faso<sup>3</sup>. The General Secretary of the MEDD will be the President, the Permanent Secretary of CONEDD will be the Vice-president and both the FIP Coordinator and the REDD+ Focal Point will be the Secretaries.

67. A **Special REDD+/ Sustainable Land Management (SLM) Consultative Platform**, will be created as part of the FIP project. It will be a specialized Commission of the National Advisory Committee on Environment and Sustainable Development (CONEDD), or any other structure that replaces it, and will serve as the consultative body to oversee the elaboration of the national REDD+ strategy and more generally the implementation of REDD+ readiness activities. The Consultative Platform will ensure multi-sectoral coordination as reflected in its composition and also ensure appropriate level of political commitment. As defined in the R-PP, the Consultative Platform will be comprised of representatives from government ministries, development partners, NGO, local communities, the private sector and others. The REDD+ Executive Committee in coordination with the FIP Coordination Unit will be responsible for the functional tasks of the consultative body.

68. A **REDD+ Focal Point** will be in charge of the strategic supervision of the program and will report directly to the Minister and to the Executive REDD+ Committee. The REDD+ Focal Point will spearhead the national REDD+ agenda at the national level in the context of a broader strategy to address climate change. In addition, the REDD+ Focal Point, in close collaboration with the FIP Coordination team and the Permanent Secretary of the National Advisory Council on Environment and Sustainable Development (SP-CONEDD), will promote and share the experiences of Burkina Faso related to REDD+, climate change and other related topics at the international level.

69. The FIP Coordination Unit will ensure the role of the National REDD+ Coordination Unit. It will be in charge of planning and implementing the REDD+ work program and will ensure that the FCPF Readiness Grant operational procedures for planning and implementation will follow the FIP projects processes (budget planning and activity reporting documents will be shared as if the grant was a subcomponent of the FIP program). In collaboration with other projects and Technical Directorates of the Ministry. For that purpose, **an informal REDD+ Technical Secretariat** will gather the short term and long term expertise from consultants as well as from technical Directorates of the MEDD such as the Director General of Forest and Fauna (DGFF), Director General of Studies and Sector Statistics (DGESE), and ultimately MEDD General Secretariat to ensure the compliance of the technical and strategic decisions with the MEDD policies. Strategic guidance will be provided by the REDD+ Focal Point, the Technical Secretariat will coordinate by the Lead Technical Assistant under the guidance of the FIP Coordinator.

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<sup>3</sup> Current "Decret" mentions a maximum of 20 members for the Steering Committee with at least the following ones: Ministry of Economy and Finance (Cooperation), Ministry of Agriculture (Rural Development Strategy Coordinator SP/CPSA), Ministry of Local Governance; ministry of Animal Resources, Ministry of Water Resources, Ministry of Environment (Studies and Sectoral Statistics (ex: Planning)); INERA (research Institute); the 4 Regional Government in which the project operate; Private sector ("Confédération Paysanne du Faso (CPF)"); National Federation of Forest users ("Fédération Nationale des Unions de Groupements de Gestion Forestière"); Civil society.

70. The grant will be implemented by the **FIP Coordination Unit** within the MEDD, under the responsibility of the **FIP Program Coordinator**. The Coordination Unit will be responsible for overall fiduciary management and coordination for the implementation of activities of the FCPF activities as well as for the activities of the FIP.

71. The FIP Coordination unit will be mostly funded by the FIP and be regularly assessed based on its responsibilities vis-à-vis DFWM Project. The FCPF grant will only finance clearly identified incremental operating expenses.

### **C. Project Stakeholder Assessment**

72. As highlighted in the FIP Investment Plan, Burkina Faso features a diverse range of stakeholders with an interest in REDD+. These can be broken down into four main categories:

73. *Governmental stakeholders.* Numerous executives from various departments, branch offices and national agencies have been active participants in all phases of REDD+ development including the preparation of the FIP Investment Plan and the R-PP. This has included institutions from the Environment sector (MEDD Directorates, the National Protected Areas (OFINAP), the National Institute for Water and Forestry (ENEF), the Nabilpaga Forestry Training Centre), from rural affairs in general (the National Committee of Land security in rural areas, the Ministry of Agriculture, Ministry of Animal Resources) and from other sectors (Directorate General for Economy and Planning (MEF)).

74. *Technical and Financial Partners.* Technical and Financial Partners working in the field of environment have a long tradition of cooperation in Burkina Faso that is marked by the creation of a collaborative framework that provides a platform for discussions and exchanges on best approaches to partnership. Representatives from several partners participated actively in the consultations and contributed to the development of the FIP investment plan and R-PP. Among them, particularly active in the forestry sector are Luxembourg, Japan, Sweden, Denmark, Switzerland and also UNDP and FAO. They are part of the National Consultation Platform and play a role in the preparation of REDD+ as well.

75. *Private sector.* The private sector in the environmental sector in Burkina Faso is becoming more organized. Forest products are a source of job creation and income generation through the exploitation and sale of firewood and charcoal, hunting (hunting areas contract-holders), and increasingly, non-timber forest products. However, most of the organizations still defined themselves as “non profit associations” rather than considered as revenue generating small enterprises – even if some partners, such as the national association of firewood transporters, are generating significant economic revenues. The banking system is still not suitable to grant credit to medium and long-term forestry investments because of alleged unreliability of a sector that is still considered highly informal. The only exception is shea production, which is acknowledged at the international level as Burkina Faso is one of the leading global exporters – but the production is grounded in women associations rather than on SME type organizations.

76. *Civil society.* In Burkina Faso, “civil society” brings together NGOs, associations, traditional and customary chiefs, opinion leaders without political affiliation. Specifically in the environment sector, NGOs and associations for environmental protection began to emerge in the

1970s, following the severe drought that hit the Sahel, and have multiplied since then (especially since Rio de Janeiro Conference in 1992). Currently, Burkina Faso has more than 500 associations grouped into organized structures and building a critical mass.

77. Civil society has multiple forms in Burkina Faso and representativeness is an issue. To allow the best participation, the R-PP plans to implement 2 main tools:

- a. First, rounds of consultation, which not only rely on NGOs or CSOs but are at the village level, and are implemented under the supervision of the local government (the mayor), with the support of the main village leader (Village Development Council – CVD). This will be a territorial approach, relying on national and traditional structures.
- b. In parallel, the Dedicated Grant Mechanism (DGM) will build representativeness of the most vulnerable people (young, women, migrants, and nomadic shepherds). It will add a transversal approach to the program to increase the capacity of the most vulnerable groups to actively join discussions on REDD+ - in particular for the design of the REDD+ strategy. The DGM will be articulated with the National Consultative to bring local concerns to the National level.

78. The aim of the DGM aims at “enhancing the capacities and support [for] specific initiatives of Indigenous Peoples and Local Communities in FIP Pilot countries in order to strengthen their participation in FIP and other REDD+ processes at the local, national and global levels”. In the context of Burkina Faso, Indigenous Peoples is a concept that is not relevant and the people living in areas neighboring on forests cannot be clearly identified as a coherent and homogeneous entity that would differ from the rest of the population. Therefore, local communities have been defined in Burkina Faso as the forest-dependent people – or more precisely the people whose livelihood depends primarily on forest related natural resources. Considering this definition, the following groups can be defined as the main counterparts for the DGM within wider Civil Society:

79. Producers organizations: Non-Timber Forest Product producers and sellers – such as Shea nuts and tradipraticiens (medicinal plants), structured by value chain (“filierre”) according to a law (Law 014/99/AN and decree 2004-040) and timber producers. Most of the wood production is harvested by Forest Management Groups (GGFs). A National Union of the GGFs has been representing them at national and international levels.

80. Women’s organizations: Women are usually not members of GGFs but also depend on forests for their income during the dry season. Income from agriculture has decreased with decreasing rainfall and this has forced women to diversify. Due to the physical nature of woodcutting and the distance to the forest many women prefer to exploit NTFPs. Women can be organized in local cooperatives producing for example shea butter or Dollo (local beer) – whose production technics demands a high consumption of firewood.

81. Traditional « Chefferies »: Traditional leaders are the basis of the customary organization of the country. They structure communities at different scales, from the village to the town, province or regional level. Their role and the scope of their powers, as well as their coordination with local authorities are very different depending on the areas of the country, North, West and

Central Plateau showing major differences. Thus, there is no network or organization for representation at the national level and only an ad-hoc approach will ensure the representation of traditional leaders.

82. Semi-nomadic shepherds (transhumant) – Fulani/Peul: The Fulani are a cattle raising nomad ethnic group that has become more or less permanently settled on the outskirts of the villages. The forest plays an important role in the livelihoods of the Fulani as grazing grounds for their animals, providing them with a constant supply of forage.

83. Migrants: About 28 percent of the total Burkinabe population has migrated at some point in their life. The “rural exodus”, to a large extent driven by the search for employment (mainly in Ouagadougou, Bobo- Dioulasso, Koudougou, Kaya and Dédougou), has caused overexploitation and deforestation around major cities. While the process of urbanization is prominent; the most common destination for migrants from rural areas is not the city, but rather other rural areas, away from infertile regions afflicted by food insecurity. Frequent droughts have spurred migration from the north and the Central Plateau to the western and southern parts of the country resulting in increased competition over, and degradation of natural resources in these areas.

#### **IV. Overall Risk Rating**

84. The overall risk rating for the implementation stage of this Grant is substantial.

85. 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 a high level of international visibility 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 a payment structure is not in place. There is an additional risk posed by parallel financing from different projects that 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**

<b>Name</b>	<b>Title</b>	<b>Unit</b>
Hocine Chahal	Lead Environment Specialist - Team Lead	GENDR
Loic Jean Charles Braune	Natural Resources Mgmt. Spec.	GENDR
Emmanuel Y. Nikiema	Sr Natural Resources Mgmt. Spec.	GENDR
Abdoulaye Gadiere	Environmental Safeguards Specialist	GENDR
Gwladys Nadine Isabelle Kinda	Program Assistant	AFMBF
Marie Bernadette Darang	Information Assistant	GENDR
Mamata Tiendrebeogo	Senior Procurement Specialist	GGODR

Lucienne M'Baipour	Senior Social Development Specialist	GURDR
Erik Winter Reed	Natural Resources Mgmt. Spec.-ETC	GENDR
Maimouna Mbow	Senior Financial Management Specialist	GGODR

## **VI. Assessment Summary**

### **A. Technical**

86. The activities to be financed by the FCPF have been selected after technical discussions with the MEDD and civil society, while taking into account other ongoing initiatives supported by the donor community. All the technical decisions for the FCPF are informed by the discussions and decisions made during R-PP Preparation and the design of the FIP Investment Plan.

87. The R-PP that was reviewed by the Forest Carbon Partnership Facility is a common vision of the role that REDD+ will play in national development. The plan articulates a clear plan, budget and schedule that will lead to real and verifiable GHG emissions reductions through avoided deforestation and forest degradation. The R-PP addresses specific technical and social issues that are critical elements of a REDD+ program including: organizational set-up, consultations, strategic options for REDD+, implementation framework, environmental and social impacts, the development of a baseline scenario, methodology for quantifying avoided GHG emissions, monitoring and evaluation including co-benefits among others.

88. The different components of the R-PP are related specifically to the management of REDD+ but align strategically with the country's climate change and sustainable development strategies. Within the activities planned in the R-PP, the FCPF grant will finance important analytical and technical work on the drivers of deforestation and forest degradation, REDD+ strategy options, support to the national readiness management arrangements, SESA, setting up effective grievance feedback and redress mechanisms, and reference levels. The development of a national REDD+ strategy under the FCPF is a key step in Burkina Faso's commitment to reducing greenhouse gas (GHG) emissions that contribute to climate change through avoided deforestation and forest degradation. This strategy will provide a framework of actions and policies to set the country on a climate resilient, lower carbon emitting development path.

### **B. Financial Management**

89. The FIP coordination unit will have the overall fiduciary responsibility of the FCPF grant and the financial management arrangements for the FCPF will be based on the existing arrangements that are being in place under the DFWM project. The project is classified as an "A" type project under the Burkinabe national law regulating project implementation. This implies that the project will be, to the extent possible, administrated and managed by permanent government bodies.

90. In accordance with the Financial Management Manual for World Bank-Financed Investment Operations that became effective on March 1, 2010, the Financial Management

arrangements of the FIP development project have been reviewed to determine whether they are adequate for the FCPF grant. The FIP project is however not yet effective and the Coordination unit is being set up. The FM staff composed of a financial management officer and two accountants have been recruited at the central unit. The FIP implementation manual including detailed accounting, administrative and financial procedures, is being finalized.

91. The overall FM risk at preparation is considered as **Moderate**. The proposed financial management arrangements including the mitigation measures for this grant are considered adequate to meet the Bank's minimum fiduciary requirements under OP/BP10.00.

92. As a result of the financial management capacity constraints, the following mitigating actions already included in the FIP FM action plan should be implemented to make the coordination unit fully operational : the purchase of an accounting software "multi-projects" and "multi-sites" and its customization of the new grant, the appointment of a financial controller to conduct ex-post reviews and the amendment of the terms of reference of the external auditor for the DFMW to include the FCPF grant in their review scope.

93. **FM arrangements.** FM staff is composed of a Financial Management Specialist and two accountants. The entire team will have the responsibility to collect and control invoices, maintain the books, enter data in the accounting software, manage grant's bank accounts, keep the books of accounts and prepare the financial reports as well as the withdrawal and direct payments applications. The adequacy of the FM team will be reassessed six months after effectiveness of the FCPF grant to gain an appreciation of the workload with the management of the two projects. An additional accountant might be recruited to handle additional activities related to the FCPF grant. To complement the financial management system and in the context of the use of country systems, reliance will be placed on a financial controller appointed by the ministry of Economy and Finances. S/he will perform ex ante control over all transactions.

94. The budget preparation process and its monitoring will be defined in the project implementation manual. This manual will describe the budgeting arrangements. This budget will be adopted by the FIP steering committee before project implementation. The budget execution will be monitored on a quarterly basis provided by accounting software. The Project Implementation Manual (PIM) will provide all the required details on accounting and financial procedures. It will set out in particular (i) the planning and budgeting arrangements, (ii) the treasury procedures, (iii) the procurement procedures, reporting format and arrangements. The FIP Coordination Unit through its financial unit will have the overall responsibility of the project management system. Accounting software with all modules (general accounting, cost accounting, monitoring and evaluation, fixed assets management, preparation of withdrawal applications interim financial reports and annual financial statements) will be used.

95. The project will prepare quarterly Interim Financial Reports during project implementation. The reporting format and procedures will be documented as an annex to the PIM. The Interim Financial Reports will cover all activities financed by this grant. Each interim financial report shall be furnished to the World Bank not later than 45 days after each subsequent calendar semester, and shall cover such calendar semester.



96. **External Auditing:** The annual financial statements will be subject to an annual audit by a reputable, competent and independent auditing firm based on terms of reference that are satisfactory to the Bank. In addition to the audit reports, an external auditor will be expected to prepare a Management Letter giving observations, comments, and providing recommendations for improvements in accounting records, systems, controls and compliance with financial covenants in the Financing agreement. The project will be required to produce, no later than June 30 of the following fiscal year, audited annual financial statements. In line with the new access to information policy, project will comply with the Bank disclosure policy of audit reports (e.g. make publicly available, promptly after receipt of all final financial audit reports (including qualified audit reports) and place the information provided on an official website within one month of the report being accepted as final by the team.

97. **Disbursements.** A Designated Account (DA) will be opened at the Central Bank in Ouagadougou and will receive project proceeds on the basis of the project cash needs. Upon grant effectiveness of the financing agreement and request from the FIP Coordination Unit, the Bank will deposit the initial advance indicated in the disbursement letter into DA. The DA will be used as a transit account and as such, funds will be transferred from the DA to FIP Coordination Unit transactions account. The Coordinator and the Financial Management Officer will be joint signatories of these accounts. Direct payments will be made to service providers if need be. The grant will finance 100 percent of eligible expenditures inclusive of taxes. Withdrawal Applications will be supported by Statements of Expenditures (or records documenting the eligible expenditures) during the first eighteen months of implementation.

98. 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 (expressed in US\$)	Percentage of Expenditures to be <u>Financed</u>
(1) Consultants’ Services, including audits, Goods, Workshops, Training and Operating Costs	3,800,000	100%

99. **Implementation Support Plan:** FM implementation support mission will be consistent with a risk-based approach, and will involve a collaborative approach with the entire Task Team. A first implementation support mission will be performed six months after the grant’s effectiveness. Afterwards, the missions will be scheduled by using the risk based approach model and will include the following diligences: (i) monitoring of the financial management arrangements during the supervision process at intervals determined by the risk rating assigned to the overall FM Assessment at entry and subsequently during the grant implementation

(GRM); (ii) integrated fiduciary review on key contracts, (iii) review the IFRs; (iv) review the audit reports and management letters from the external auditors and follow-up on material accountability issues by engaging with the task team leader, Client, and/or Auditors; the quality of the audit (internal and external) also is to be monitored closely to ensure that it covers all relevant aspects and provide enough confidence on the appropriate use of funds by recipients; and, (v) physical supervision on the ground specially; and (vi) assistance to build or maintain appropriate financial management capacity.

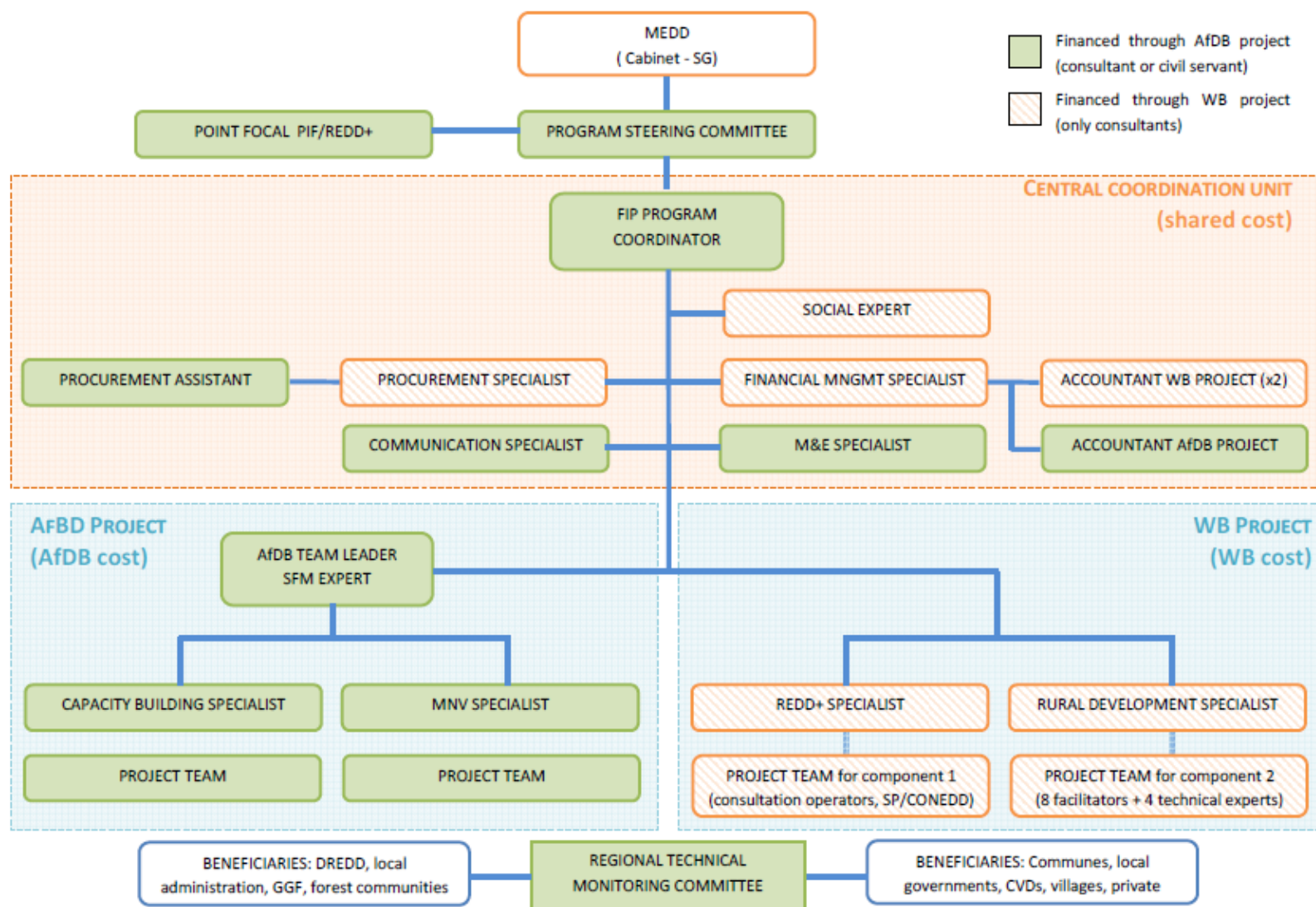


Figure 4: Coordination Unit

### C. Procurement

100. Procurement activities under the FCPF grant will be implemented by a project unit hosted within the MEDD and currently in charge of the FIP project. This project unit is already staffed with a recruited procurement specialist. Due to the expected workload, it is agreed to appoint a qualified procurement assistant to the team. The same arrangement under FIP project will operate for the FCPF grant and the procurement specialist will have the overall procurement responsibilities both FCPF and FIP projects.

101. **Guidelines** Procurement for the proposed Grant would be carried out in accordance with the World Bank's "Guidelines for Procurement of Goods, Works and Non-Consulting Services under IBRD Loans and IDA Credits & Grants by World Bank Borrowers" dated January 2011, revised July 2014, and "Guidelines for Selection and Employment of Consultants under IBRD Loans and IDA Credits & Grants by World Bank Borrowers" dated January 2011, revised July 2014, and the provisions stipulated in the Financing Agreement. "Guidelines on Prevention and Combating Fraud and Corruption in Projects Financed by IBRD Loans and IDA Credits and Grants", dated October 15, 2006 and updated January 2011, shall apply to the grant.

102. **Procurement Documents.** Procurement will be carried out using the Bank's Standard Bidding Documents or Standard Request For Proposal (RFP) respectively for all International Competitive Bidding (ICB), for goods and selection of consultants. For National Competitive Bidding (NCB), the FIP Coordination Unit could submit a sample form of bidding documents to the Bank for prior review and will use this type of document throughout the grant once agreed upon. The Sample Form of Evaluation Reports published by the Bank will be used.

103. **Frequency of procurement reviews and supervision.** Bank's prior and post reviews will be carried out on the basis of thresholds indicated in the procurement plan. The Bank will conduct six-monthly implementation support missions and an annual Post Procurement Review (PPR); the ratio of post review is at least 1 to 5 contracts. The Bank could also conduct an Independent Procurement Review (IPR) at any time until after two years of the closing date of the grant.

104. All trainings, terms of reference of contracts, and all amendments of contracts raising the initial contract value by more than 15 percent of original amount or above the prior review thresholds will be subject to the Bank prior review. All contracts not submitted for prior review, will be submitted to the Bank post review in accordance with the provisions of paragraph 5 of Annex 1 of the Bank's Consultant Selection Guidelines and Bank's procurement Guidelines.

105. **Procurement Plan.** For each contract to be financed by the grant, the procurement plan will define the appropriate procurement methods or consultant selection methods, the need for pre-qualification, estimated costs, the prior review requirements, and the time frame. The draft procurement plan is attached in Annex IV. The procurement plan will be updated at least annually, or as required, to reflect the actual implementation needs and capacity improvements. All procurement activities will be carried out in accordance with approved original or updated procurement plans. All procurement plans should be published at national level and on Bank website according to the Guidelines. The Client and the Bank have agreed on a procurement plan covering the first eighteen (18) months of the grant, in Annex IV.

106. **Procurement Filing.** Procurement documents must be maintained in the grant files and archived in the safe place until at least two years after the closing date of the grant. The project Procurement Unit will be responsible for the filing of procurement documents, with support from the FM expert.

107. **Procurement risk at the Grant level.** The major issues concern : (i) the limited experience in Bank procedures for staff affected at the “Direction des Marchés Publics-DMP” established within MEDD ii) and the bottlenecks and delays in procurement process that will probably occur due to the new internal reorganization of procurement bodies at land ministries’ level: procurement documents and processes are subject to review by the “Cellule de contrôle interne et de suivi- évaluation” before they are submitted to the “Direction générale du contrôle des marchés et des engagements financiers-DGCMEF” for no-objection at national level (Refer to “Arrêté no2014-044/MESS/SG/DMP du 03 Mars 2014 portant organisation et fonctionnement de la direction des Marchés publics”).

108. **Mitigation Measures.** The following corrective measures are proposed : (i) the appointment of a qualified procurement assistant with strong knowledge of Bank procedures (ii) and an annual procurement post review will be undertaken by Bank procurement team to:

- ✓ verify procurement procedures followed by the implementation team, and identify noncompliance with the agreed provisions of the legal agreement and applicable Guidelines;
- ✓ verify that the procurement arrangements agreed with the FIP Coordination Unit are still in place;
- ✓ report contract management issues identified by the executing agency(ies);
- ✓ assess technical compliance and physical completion reviews for the contracts in selected sample of contracts;
- ✓ examine cases of fraud and corruption red flags and report any evidence of such fraud and corruption;
- ✓ identify mitigating measures or remedies to correct procurement deficiencies and recommend them to the FIP Coordination Unit and its executing agency(ies).

#### Schedule of Risk Mitigation Action Plan to be carried out

Action Plan for Strengthening Procurement Capacity			
Ref.	Tasks	Responsibility	Due date
1	Appointment of a qualified procurement assistant experienced in Bank financed projects	FCPF	Three months after effectiveness
2	Training of the Procurement staff from the project unit and DMP	FCPF/WB	Three months after effectiveness
3	Updating the Project Implementation Manual to describe the detailed procurement procedures applicable to the FCPF grant	FCPF	Three months after effectiveness

#### Overall Procurement Risk Assessment:

Low ☐

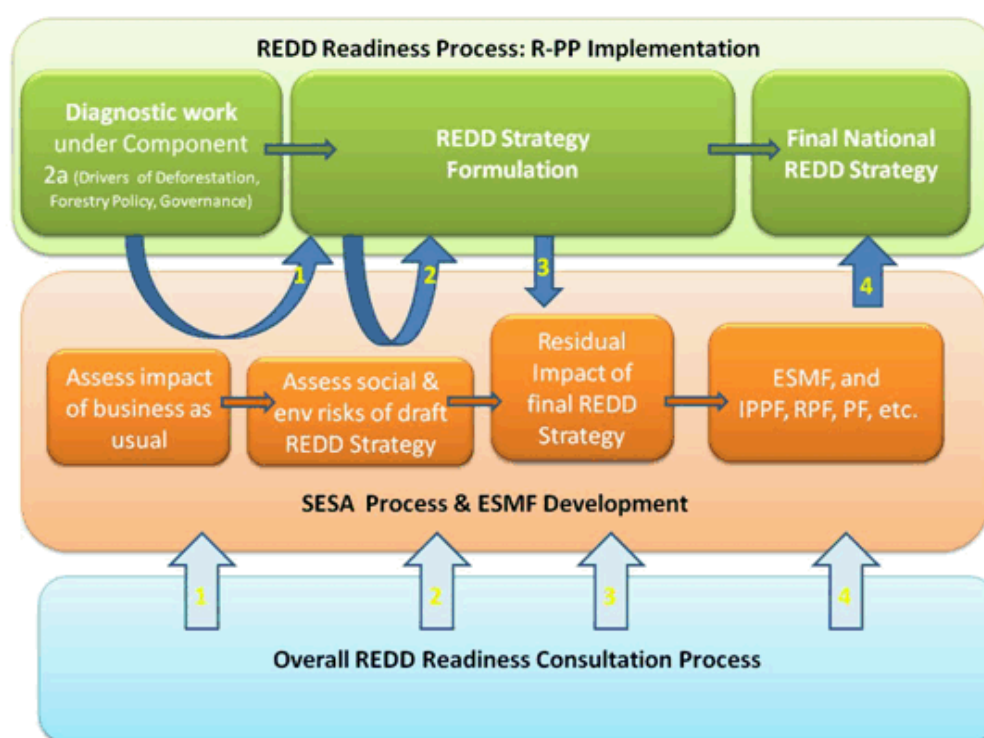
Moderate ☐

Substantial  
High

X

109. The Fiduciary and Technical Arrangements from the FIP are found in the diagram below and will be financed by the FIP Program. The FCPF Grant will only finance additional resources if needed or standalone incremental cost.

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



*Figure 5: SESA Process for REDD readiness*

110. Moving forward, the implementation of activities during REDD+ readiness must comply with World Bank safeguard policies regarding the management of environmental 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.

111. 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.

112. FCPF financing will support Burkina Faso's establishment of an ESMF for REDD+ operations. The Social Specialist within the FIP Coordination Team will be in charge of the specifically focused on the SESA process under the supervision of the CTP and the REDD+ Focal Point. The graph below details the link between the SESA process and other REDD+ Readiness activities:

### **1. Social (including Safeguards)**

113. No investments are planned for the FCPF grant; activities will focus solely on governance related activities thus there are no expected social safeguards issues to be raised. The Strategic Environmental and Social Assessment (SESA) will be carried out with respect to the overall national REDD+ strategy wherein any adverse social issues and safeguards instruments will be identified. The SESA will ensure that the design of the REDD+ process adheres to the requirements of World Bank safeguard policies and that the relevant instruments are developed, in particular to identify and mitigate any possible restriction of access (through a Resettlement Policy Framework (RPF), and a Process Framework (PF)).

114. 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. 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 particularly forest dependent local communities and other vulnerable and marginalized groups within these populations, notably migrants, youth and women; and prevent or mitigate any negative impacts on forest biodiversity and the wider ecosystem. The ESMF will also pay particular attention to integrating the gender dimensions of REDD+ by ensuring that any social mitigation actions will have gender differential positive impacts.

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

115. No significant negative environmental impacts are expected from this grant as its intention is to promote sound natural resources management and improve floral and faunal biodiversity. The grant 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 grant to follow a structured assessment process to ensure that no activities will have unintended consequences on the environment.

116. The Grant will fund the preparation of a 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), Physical Cultural Resources (OP 4.11) and Forests (OP 4.36).

### **3. Consultation, Participation and Disclosure**

#### *a. Experience to Date*

117. The R-PP preparation process in Burkina Faso has been participatory, with a series of consultation activities, including national and cross-ministerial department-level workshops, civil society platform consultations, focus group 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, women's rights groups, youth groups, traditional Chiefs and the private sector. Civil society and forest-dependent communities have been specifically targeted during consultation activities.

118. The FIP Investment Program and the preparation of the two FIP projects have also provided several opportunities for consultation. These consultations allowed the REDD+ Focal Point and the FIP Coordinator (and more generally the MEDD) 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 improving forest governance in rural areas.

119. The R-PP summarizes the efforts in term of consultation in the country.

#### *b. Proposal Going Forward*

120. 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, in close coordination with the FIP and PASF projects.

121. More generally, the engagement of CSO and the consultation scheme will rely on the following instruments:

122. The DGM project, that aims at reinforcing forest-dependent community voices related to the REDD+ process and improving their participation at national and international levels;

123. "waves" of consultations implemented by the FIP DFWM project. Those consultations will be the medium for ensuring a direct link between the "national Platform" and the rural communities at village level.

124. The grievance mechanism that will be defined and implemented by the FCPF grant.

### **4. Safeguards Policies Triggered**

125. 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).

126. 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.

127. 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 safeguards category for the future REDD+ project is 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 grant 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>
While no agricultural intensification and reforestation activities are likely to require pest management in the course of the implementation of the Readiness activities, which may be considered as being among others REDD+ activities which could require pest management in the course of strategy implementation. Taking into account this aspect, the SESA will address whether there is a need to address critical issues related to pest			

<b>Safeguard Policies Triggered</b>	<b>Yes</b>	<b>No</b>	<b>TBD</b>
management, and if the ESMF should include such elements 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/sacred sites such as sacred groves, sacred forests, etc.). Though it is not anticipated that the grant will have negative impacts on any such sites, the SESA will address issues related to physical cultural resources and potential impacts of the National REDD+ Strategy, which will later be included in the ESMF and a specific dedicated framework if needed be.			
<b>Indigenous Peoples (OP/BP 4.10)</b>		<b>X</b>	
Not Relevant			
<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>	

## VII. ANNEXES

**Annex I – Operational Risk Assessment Framework**

**Annex II – Preparation Schedule and Resources**

**Annex III – R-PP Submitted by Burkina Faso**

**Annex IV – Procurement Plan**

**Annex V – Donor Support for REDD Readiness**

**Annex VI – SESA Terms of Reference**

## Annex I - Operational Risk Assessment Framework

<b>1. Project Stakeholder Risks</b>	<b>Rating: Moderate</b>			
<b>Description:</b> Some stakeholders/interest groups may oppose progress in the establishment of a national REDD+ strategy, leading to delays in grant implementation.  <b>Description:</b> Disconnect between the expectations from the population and the concrete REDD+ scheme design in the country. 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. The participatory process promoted across all the activities will ensure the dissemination of targeted messaging when it comes to carbon payments and community benefits. Any eventual REDD+ financing will be developed in line with national programs such as the basket fund for the environment. <b>Description:</b> Conflit within communities or between elite and communities for the benefit-sharing process.  <b>Description:</b> Difficulties in broadening the scope of REDD+ to engage beyond the forest sector. This risk is shared commonly with other REDD+ countries since the drivers of deforestation are predominantly outside of the forest sector and directly linked with short term economic benefits.	<b>Risk Management:</b> The SESA will identify social and environmental risks arising from the national REDD+ Strategy. The grant will also support communication activities to create more awareness on REDD+. REDD+ strategies will largely build on existing programs to strengthen ongoing initiatives, reduce conflicting arrangements and negative reactions.			
	<b>Resp: Project</b>	<b>Stage: Impl.</b>	<b>Due Date :12/31/2015</b>	<b>Status: Not yet due</b>
	<b>Risk Management:</b> The participatory process promoted across all the activities will ensure the dissemination of targeted messaging when it comes to carbon payments and community benefits, any eventual REDD+ financing will be developed in line with national programs such as the basket fund for the environment. The DGM process will help in supporting the discussions with the civil Society. Lessons from ongoing investments from programs such as FIP will inform the REDD+ process and lessons will be incorporated into benefit sharing strategies. Links with the DGM will ensure a proper information and consultation from the civil society.			
	<b>Resp: Project</b>	<b>Stage: Impl.</b>	<b>Due Date : Recurrent</b>	<b>Status:N/A</b>
	<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 grant. Lessons from ongoing investments from programs such as FIP will inform the REDD+ process and lessons will be incorporated into benefit sharing strategies.			
	<b>Resp: Project</b>	<b>Stage: Impl.</b>	<b>Due Date :12/31/2015</b>	<b>Status: Not yet due</b>
	<b>Risk Management:</b> Supporting strong cooperation between the sectoral Ministries and their implementing agencies will be promoted as part of grant design from the outset of the grant. Relevant Ministries as well as other representative groups are included in the interministerial steering committee which will meet throughout the course of the National REDD+ Strategy development process.			
	<b>Resp: Project</b>	<b>Stage: Impl.</b>	<b>Due Date : Recurrent</b>	<b>Status:N/A</b>
<b>2. Implementing Agency Risks (including fiduciary)</b>				
<b>3.1. Capacity</b>	<b>Rating: Substantial</b>			
<b>Description:</b> 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	<b>Risk Management:</b> The grant will gain from being associated with the FIP project as the capacities of the implementing agency will be strengthened by the FIP.			

substantial.	<b>Resp: Project</b>	<b>Stage: Impl.</b>	<b>Due Date : Recurrent</b>	<b>Status:N/A</b>
<b>3.2. Governance</b>	<b>Rating: Moderate</b>			
<b>Description:</b> The adoption of a national REDD+ strategy will require legislation as well as the reform of sectoral strategies for the mainstreaming of issues related to climate change. There may be limited willingness from different sectors to actively engage in policy reforms. Generally, there is low enforcement of forest regulations including the production and/or use of forest products.	<b>Risk Management :</b> The grant aims to strengthen the capacity of Government, particularly on mainstreaming climate change issues into different sectors, including climate change as part of its objectives.			
	<b>Resp: Project</b>	<b>Stage: Impl.</b>	<b>Due Date : Recurrent</b>	<b>Status:N/A</b>
	<b>Rating: Low</b>			
<b>4. Project Risks</b>				
<b>4.1. Design</b>	<b>Rating: Moderate</b>			
<b>Description:</b> The design of a mechanism and program to decrease deforestation and forest degradation and reduce the GHG emissions touches on many complex issues and institutional dynamics. There may not be enough resources to implement the measures fully.	<b>Risk Management:</b> The REDD+ program builds on extensive consultations and the long history of experience in Burkina Faso in order incorporate the lessons that have worked so far. The development of a national REDD+ strategy will continue the process of consultations and incorporating lessons from ongoing investments as well as collaborating with other donors to ensure that objectives of the REDD+ strategy and other investments are mutually reinforcing.			
Incomplete data on forests and woodlands, and high development demands from local stakeholders, might lead to strategies that do not effectively address the main drivers of deforestation and forest degradation.	In depth studies and analysis will be launched as part of the grant to create a more robust set of data regarding forest and woodland resources including drivers of deforestation and forest degradation to maximize the potential for developing effective initiatives.			
	<b>Resp: Project</b>	<b>Stage: Impl.</b>	<b>Due Date :12/31/2015</b>	<b>Status: Not yet due</b>
<b>4.2. Social &amp; Environmental</b>	<b>Rating: Moderate</b>			
<b>Description :</b> REDD+ entails mostly social risks (conflicts over land use and tenure, restriction of illegal forest-related activities, sharing of REDD+ benefits and more generally of REDD+ induced development between communities ). However this grant does not support direct investments.	<b>Risk Management :</b> Close supervision of the preparation of the SESA including through direct support to a dedicated consultant. The SESA study will pave the road for later investments – Conflict resolution supported by FCPF may prevent future conflicts later. Continued capacity building for stakeholders on SESA will be ensured in collaboration with the DGM. An ESMF that incorporates the elements corresponding to the applicable safeguard policies (such as an EMF, RPF, and/or Process Framework for a future REDD+ policy) 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: Project</b>	<b>Stage: Impl.</b>	<b>Due Date :12/31/2015</b>	<b>Status: Not yet due</b>
<b>4.3. Program &amp; Donor</b>	<b>Rating: 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	<b>Risk Management :</b> Continued support to the FIP/REDD+ Coordination Unit through FIP funds will mitigate the risks of financing gaps. Effective coordination with donors will be ensured through: i) joint			

<p>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.</p>	<p>supervision missions when possible; ii) frequent communication between the programs; iii) use of the R-PP and FIP Investment Plan as the overall guiding documents providing for supporting the national REDD+ readiness process; iv) having the same interlocutor at the government level (MEDD).</p>			
<p><b>4.4. Delivery Monitoring &amp; Sustainability</b></p>	<p><b>Resp: Team</b></p>	<p><b>Stage: Impl</b></p>	<p><b>Due Date : Recurrent</b></p>	<p><b>Status:N/A</b></p>
<p><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.</p> <p>REDD+ activities may not be sustainable if performance based carbon financing is not secured or a REDD+ development is not decided at national level.</p> <p>Institutions and governance structures created for managing REDD+ may not last if carbon financing resources are not received. Experiences from other countries tend to prove that setting up a complex institutional framework before any resources are identified and confirmed could be very costly and poorly efficient.</p>	<p><b>Rating: High</b></p>			
	<p><b>Risk Management :</b> The FCPF-funded activities have been selected strategically, to support priority REDD+ Readiness needs that allow the country to progress in getting ‘ready’. Complementary funding from the FIP and other donors has already been secured and will support REDD+ various aspects of REDD+ readiness. As the grants are being launched at relatively the same time coordination among the programs is built into project design to ensure that progress towards REDD+ Readiness moves ahead at a constant speed. The same unit is coordinating multiple financing initiatives to ensure consistency.</p> <p>The institutional framework has been designed with minimal incremental recurring cost for REDD+ supervision and orientation. All of the REDD+ related coordination structures have been integrated into existing bodies and committees with similar purposed have been consolidated. In addition, the grant will help Burkina Faso to measure and evaluate the various co-benefits of REDD+ and carry out an economic analysis of engaging in a broad REDD+ –policy - based primarily on “no regret” scenarios and not only on hypothetical carbon finance.</p>			
	<p><b>Resp: Project</b></p>	<p><b>Stage: Impl.</b></p>	<p><b>Due Date : Recurrent</b></p>	<p><b>Status:N/A</b></p>
<p><b>4.5. Other Institutional Framework</b></p>	<p><b>Rating: High</b></p>			
<p><b>Description:</b> A successful REDD+ mechanism touches sensitive issues, such as land use planning, choice for the country growth strategy, decentralization and natural resources use rights. Notwithstanding, not all of these reforms have to be achieved before the country is ‘ready’ to participate in a REDD+ mechanism.</p>	<p><b>Risk Management :</b> Support the inclusion of REDD+-related institutional reforms in ongoing policy reforms (such as agriculture investment projects). Communicate the evolving nature of REDD+ Readiness, which is not a static point in time but a process of gradual capacity strengthening towards sustainable forest management</p>			
	<p><b>Resp: Project</b></p>	<p><b>Stage: Impl.</b></p>	<p><b>Due Date : Recurrent</b></p>	<p><b>Status:N/A</b></p>
<p><b>Implementation Risk Rating:</b></p>				
<p><b>Comments: Substantial</b></p>				

## Annex II – Preparation Schedule and Resources

Annex II Preparation Schedule and Resources			
Sector Unit Estimate of Resources Required from Preparation through Approval			
Source of Funds	Preparation Expenses to Date (US\$)	Estimate of Resource Requirements (US\$)	
		Fixed	Variable
<b>Bank Budget</b>	0	0	0
<b>Trust Funds</b>		335.000	165.000
Team Composition			
Bank Staff			
Name	Title	Specialization	Unit
<b>Hocine Chalal</b>	<b>Lead Environment Specialist</b>	Team Lead	GENDR
Loic Jean Charles Braune	Natural Resources Mgmt. Spec.		GENDR
Erik Reed	Natural Resources Mgmt. Spec.	ETC	GENDR
Emmanuel Y. Nikiema	Sr Natural Resources Mgmt. Spec.		GENDR
Abdoulaye Gadiere	Environmental Specialist	Safeguards	GENDR
Lucienne M’Baipour	Senior Social Specialist	Safeguards	GURDR
Gwladys Nadine Isabelle Kinda	Program Assistant		AFMBF
Marie Bernadette Darang	Information Assistant		GENDR
Mamata Tiendrebeogo	Senior Procurement Specialist	Procurement	AFTPW
Maimouna Mbow	Financial Management Specialist	FM	AFTFM

## **Annex III – R-PP Submitted by Burkina Faso**

Due to the length of the document the Executive Summary is copied below. The full document can be accessed on the FCPF Website in [English](#) or in [French](#).

### **Executive Summary**

#### ***The REDD process in Burkina Faso***

1. Burkina Faso launched its REDD program in 2010 during a training workshop on REDD+ for Ministry of the Environment staff and representatives from NGOs and the private sector. The Government of Burkina Faso became an observer member of the FCPF and participated in its meeting in June 2010 in Guyana.
2. Burkina Faso was selected as a participant in the Forest Investment Program (FIP), one of the programs established under the Climate Investment Funds, because of the substantial carbon sequestration potential of dryland forests at a global level<sup>1</sup>, and because of Burkina Faso's substantial experience in participatory natural resource management. The preparation of a FIP/Burkina Faso between February and November 2011 with the support of the World Bank (the lead organization) and the African Development Bank (AfDB) is a first step in the country's development of a national REDD program. In June 2011, the FIP Subcommittee approved the Burkina Faso's FIP investment plan. Burkina Faso provided that the government undertook some improvements to the plan and align the plan with an official REDD readiness process. This document constitutes the revised plan (R-PP: Readiness Preparation Plan) that Burkina Faso intends to implement to prepare for REDD.
3. Since the financial resources necessary to carry out the activities laid out in this plan are included in Burkina Faso's FIP Burkina Faso and other development projects, the country does not intend to solicit the entire funding of the preparation from the Forest Carbon Partnership Facility (FCPF).

#### ***1a. Organizational set-up***

4. For its REDD+ program, Burkina Faso will establish appropriate project management, implementation, and consultation arrangements.
5. A National REDD Coordination Unit and broader National REDD Committee will form the entities for coordination and implementation. The REDD preparation, a 30 month process, will include the preparation and implementation phases of projects identified under the FIP (Forest Investment Plan). The preparation phase will also be supported by grants currently being prepared under financing from Luxembourg, Sweden, and the European Union. These projects will provide most of the required financing. The National REDD Coordination Unit will also coordinate these projects through a single steering committee as stipulated by Decree no. 2007-775 PRES/PM/MEF of November, 22, 2007, and in accordance with the general rules and regulations which regulate development programs and projects undertaken in Burkina Faso. The operating cost of coordination is estimated as follows: (i) payroll (US\$170,000/year), (ii) operating costs (US\$30,000/year), (iii) equipment (US\$100,000). A consulting firm will be contracted for a period of 30 months to provide technical assistance (US\$750 000, included in component 2b) consisting of a technical assistant to the contact person for REDD/FIP, a forestry expert for REDD, and a participatory consultation adviser. The consulting firm will have an additional list of experts on call to provide specific assistance as needed in the various activities for REDD preparedness. This overlap between the REDD approach and the implementation mechanism for FIP projects will ensure coherence between the two mechanisms; because the implementation and coordination entities will be the same, the development of the REDD strategy will be directly influenced by the innovative pilot investments financed by FIP – and will guarantee that these FIP projects are in line with the regional approach.

6. For participatory consultation, commune-level committees (local committees) and regional committees established through decentralization will be reinforced, and a National Participatory Consultation Platform including focus groups will be formed, allowing the participation of all groups in arriving at a national consensus from the grass roots up. The Platform will be established as a special committee of CONEDD (the National Council for the Environment and Sustainable Development). The aim of this institutional arrangement is to integrate the community consultation and participation within the entity responsible for sustainable development policy and monitoring of projects and programs that are initiated as part of the response to climate change.

7. The participatory consultation is conducted by the Permanent Secretariat of CONEDD (SP-CONEDD), supported by a technical assistant with expertise in participatory consultation and REDD. The SP-CONEDD will ensure the proper functioning of the participatory consultation mechanism, and the financial resources will be made available by the National REDD Coordination Unit.

8. The total cost of the organizational component is US\$930 000.

#### ***1b. Initial participatory Consultations***

9. A series of participatory consultations has taken place since 2010, and several consultation workshops involving all stakeholder groups have been held on the preparation of the FIP/Burkina Investment Plan, including during the joint FIP preparation missions undertaken by the Government with the assistance of the multi-lateral development banks (World Bank Group as lead agency, along with the African Development Bank). A steering committee was established for coordination of the NAPA (National Adaptation Plan of Action), FIP, and REDD; the Committee also coordinated the preparation of the R-PP.

#### ***1c. Consultation and participation plan***

10. The participatory consultation will take place in successive “rounds”, i.e. sequence of activities, with each round associated with a predefined theme and managed by the National Participatory Consultation Platform. The design of the bottom up consultation process is based on village forums, which are organized in every village in the country with the help of existing organizational structures. After these forums are held, commune-level committee meetings synthesize the village-level information to produce commune level-information. The latter are in turn combined and harmonized by regional committees, and the results forwarded to the National Platform to be taken into account in national strategy. Rounds (i.e., from the villages to the National Platform) are repeated for different thematic areas as determined by the needs of the preparation process for REDD. Given the size of the geographic area that has to be covered and the organizational effort required, three “consultation rounds”, can take place per year.

11. The consultation plan consists of a series of activities:

- ☐ Developing information material and consultation resources
- ☐ Training of outreach workers
- ☐ Round 1: Raising awareness
- ☐ Round 2: Drivers of deforestation and forest degradation, lessons learned, policy/governance
- ☐ Round 3: Solutions/options
- ☐ Round 4: Implementation options (legal framework, redistribution mechanisms, project standards, a National REDD Fund, complaints and appeals) and SESA
- ☐ Round 5: MRV (measurement, reporting, verification), baseline scenario
- ☐ Round 6: Draft strategy, ESMF
- ☐ Round 7: Validation of the strategy as a whole
- ☐ Ad hoc workshops at a national level and focus group meetings.

12. The cost of these activities is estimated at US\$2.427 million.



## ***2a Analysis of drivers of deforestation and forest degradation, of policies, governance and lessons learned***

13. A first analysis identified the principal drivers of deforestation and forest degradation as:

- ☐ Agricultural expansion;
- ☐ Overgrazing;
- ☐ Bush fires;
- ☐ Increasing demand for fuel-wood and charcoal;
- ☐ Over-harvesting of NTFPs (non-timber forest products);
- ☐ Mining.

14. Based on available information, wooded areas and forests cover 12.9 million hectares in Burkina Faso, or 43% of the total land area. However, this figure includes forests, woodlands, and wooded savannas and wooded steppes; forest reserves account for 3.9 million ha. Overall deforestation was estimated at approximately 107,000 ha per year (0.83% per annum, similar to other countries in the Sahel) between 1992 and 2002, with a higher deforestation rate in the wooded savannas. Degradation is hard to assess, but is estimated as being equivalent to about 0.5 million ha per year. Updated estimates will become available once data analysis from the national forest inventory, started in 2010, has been completed.

15. The indirect drivers of deforestation and forest degradation result from a complex interplay between socio-economic, political, technological, and cultural factors, which leads to an environment conducive to the emergence of one or more direct drivers. Indirect drivers include a growth in impoverished rural populations who depend on forestry products for survival, delays in implementing land tenure reforms, the weak capacity of stakeholders, insufficient tools for sustainable land use planning and management, a lack of capitalizing on good forestry practices, and difficulties in enforcing laws and regulations relating to the forestry sector. Despite political stability, a strong track record of government decentralization, and steady economic growth over recent years, Burkina Faso remains one of the poorest countries in Africa, with a per capita GDP of US\$510, primary school completion rates of less than 50% in 2009, and mortality rates for children under 5 of 166 per 1,000. Over a third of the population faces food insecurity. The design of the REDD strategy must take into account these underlying socio-economic conditions as well as the constraints with regard to financial and human resources.

16. The overexploitation of natural resources has contributed to rural-urban migration and to migration from less favorable to more favorable rural areas. This in turn has led to a displacement of overexploitation to urban peripheries and other areas receiving migrants from rural areas. Variability in rainfall and temperature patterns and changes in climate have exacerbated anthropogenic deforestation. These phenomena can therefore be considered to be emerging indirect drivers of deforestation and forest degradation.

17. Over the past 30 years the government of Burkina Faso has demonstrated a strong long-term commitment to the environment. It has prepared a number of sectoral strategies and undertaken a series of successful pilot projects in forest and woodland conservation and agro-forestry. Recent changes in the political, legal, and institutional context have resulted in considerable progress, particularly through revisions to the Forest Code in 2011 that provide a strong role for local authorities and private sector in the development of wooded areas. The adoption of the Rural Land Act (no. 034-2009/AN of June 16, 2009) allows for all rural stakeholders to have equitable access to land, a guarantee of their investments, and the allowing for different land rights regimes adapted to local circumstances. Further, the National Rural Sector Development Plan has become the framework for planning and coordination of rural development and will provide a coherent platform for addressing the causes of deforestation and deforestation due to extensive, low-yield farming and pastoral practices.

18. There has also been good progress with regard to inter-sectoral coordination for sustainable forest management. A National Planning Framework for Land Management (*Schéma National d'Aménagement du Territoire – SNAT*) has been established and forms the basis both for the compiling of regional plans and for strengthening decentralization through practical programs for improved forest and woodland management by local communities.

19. As regards lessons learnt, the national REDD strategy for Burkina Faso has been able to take advantage of important advances in both agro-forestry and participatory management of natural forests. An effective partnership between the forest services and local populations organized through forest management associations (FMAs) has brought about effective community participation in forest management initiatives that have a significant potential for generating additional revenue from non-timber forest products (NTFPs.)

## **2b. Strategic options for REDD**

20. Strategic options for REDD include the objectives of reducing GHG emissions, sequestering additional carbon, and improving the living conditions of populations through the fight against poverty.

21. To reduce the level of forest emissions, the national REDD strategy is based on four main areas of intervention, selected to address the drivers of deforestation/degradation:

- ☐ **Land use planning:** Land use planning in order to facilitate the most appropriate land use for each of the many different activities that take place in a rural setting (farming, livestock, forestry, agro-sylvo-pastoral activities, mining, urban areas, etc.) in order to accommodate them all;
- ☐ **Security of land tenure:** Enforcement of recent laws and regulations regarding the security of land tenure in order to provide an enabling environment for investments in improved land and forest management;
- ☐ **Management of agro-sylvo-pastoral systems:** For the sustainable management of crop farming, livestock farming, and forestry within a sustainable land-use management system;
- ☐ **A cross-cutting component of national capacity-building (in the ministries, but also in the private sector, civil society, and educational and research institutions), harmonization of policies, and promoting good governance** of natural resources, and forests in particular, will be included to create favorable conditions for the implementation of these three major areas of intervention.

22. These four areas are broken down into fifteen measures (see Table 26, Section 2b.B). During preparation for REDD, these measures will be further elaborated in terms of model REDD activities or projects to build a portfolio of activities on the ground which may be implemented through public programs/projects or private or community initiatives.

23. As the strategy is currently still in the conceptualization phase, potential emissions reductions were estimated based on realistic targets that correspond to the expected outcomes of implementing the measures. The combined effect of these measures will be to address the causes of deforestation and forest degradation. Based on conservative targets, emissions reductions could be:  
[table omitted]

24. The development of the national REDD+ strategy requires several steps, including:

- ☐ An analysis of drivers of deforestation and forest degradation;
- ☐ Additional studies on the impact of overgrazing and bush fires;
- ☐ An analysis of lessons learned from different projects/programs in rural development and forestry over the past three decades;
- ☐ An inventory of policies and governance in forestry and land use planning;

- An inventory of policies and programs in other sectors (agriculture, mining, infrastructure) and an analysis of the issues that may affect REDD;
- The development of solutions/options for reducing forest emissions with estimates of their potential to reduce emissions, contribute to the fight against poverty, and provide environmental co-benefits.

25. Based on initial studies and proposals for the implementation framework, a first draft of the strategy will be outlined. This will form the basis for a strategic environmental and social assessment. The strategy will then be finalized a) by establishing objectives and desired outcomes, b) by defining model activities or projects, c) by specifying the necessary changes to various sectoral policies and programs, and d) if necessary, by defining new operational programs for REDD.

26. The development of the national REDD+ strategy will be based on a national approach that will require steps for raising awareness, for generating understanding (training), and for ownership and involvement in order to produce a strong commitment from all walks of society towards REDD+ actions. The national community consultation plan will lead to the consensus necessary for producing the final versions of the various documents.

27. The cost of developing the national strategy, including the studies and other activities (excluding consultation activities and the operation of the National REDD Coordination Committee) is estimated at US\$1,65 million.

### ***2c. Implementation framework for REDD+***

28. The national REDD+ strategy should also include an implementation framework that covers the legal aspects, standardization aspects, the accreditation and registration of projects, and, lastly, the aspects pertaining to the redistribution of carbon revenues and financing.

29. Three components of this implementation framework will be developed or validated during preparation for REDD: i) the mechanism for national, inter-ministerial, and inter-sectoral coordination, ii) the identification and the operationalization of REDD+ programs and projects, and iii) a legal framework for the redistribution of carbon revenues. Again, proposals and arrangements that relate to these three areas of national REDD strategy implementation will be widely discussed under the plan for participatory consultation and participation.

30. The involvement of the mining sector being essential to the success of REDD, a detailed study will be conducted on how the mining sector can be integrated into REDD

31. The REDD+ activities that will be defined in the national REDD strategy will include model actions with a proven effect in reducing deforestation and forest degradation in the context of Burkina Faso, while simultaneously providing social and environmental co-benefits. Several strategies and programs that the government has defined and implemented – both with and without the support of development partners - are already contributing to the achievement of REDD objectives. Some of the REDD+ model activities could already be included in these programs and are included in the FIP. An analysis of the "REDD content" of these programs and projects will therefore be carried out to increase their REDD-related content. In addition, there are also plans to develop a first group of new projects.

32. As part of the promotion of REDD, the government must establish conditions conducive to private sector participation in REDD. Thus the legal framework regarding ownership of carbon credits must be clearly defined. A study will analyze the current legal provisions in relation to REDD-related issues, and should produce proposals for any new regulations that may be needed.

33. Accreditation of REDD projects by the government is a tool to facilitate the sale on international carbon markets of carbon credits generated through private initiatives. Recording accredited projects in a register will represent a tool for tracking projects and national initiatives on REDD that will also be useful for monitoring and evaluating the implementation of the national strategy. For projects to be accredited, it

will be necessary to define a set of criteria (standards) for REDD projects to be recognized as such in Burkina Faso. At the same time, Burkina Faso will also develop a registry for listing government-accredited REDD projects.

34. To promote REDD activities Burkina Faso intends to implement a pre-financing mechanism in which the amounts awarded will be considered as advances for environmental services rendered. It has been shown that this form of redistribution (project financing) is easier to implement and would, in effect, constitute an advance payment on anticipated results with regard to emissions reductions. The establishment of a National Fund is in line with the promotion of private REDD initiatives, and it will fund projects that contribute to the country's performance as a whole.

35. None these activities will result in additional costs above and beyond the cost already mentioned in 1a for the running of the National REDD Coordination Unit and the ad hoc use of consultants, except for the study of the involvement of the mining sector for an amount of US\$200,000.

#### ***2d. Social and environmental impact***

36. A strategic environmental and social assessment will be conducted early in the process to allow for refinement of the national REDD strategy as it is being compiled. It is expected that it will included with the first draft of the full strategy once that becomes available. The SESA will start just before the 4th round of participatory consultations, with an estimated cost of US\$115,000.

#### ***3. Developing a baseline scenario***

37. Since Burkina Faso intends to develop an MRV system based on land use mapping (including detailed documentation of forest stratification), the aim of the baseline would be to project into the future (e.g. a period of 5 years) the evolution of land use based on different scenarios. This will lead to the compilation of a database on anticipated land use (called "BDOT": *base de données de l'occupation des terres* – land use database) which will be used to compare estimates of the projected carbon stock with the actual forest carbon stock that will be measured periodically as part of the MRV.

38. During the REDD preparation phase, Burkina Faso will develop its baseline scenario in detail through the following activities:

- ☐ Validation of the accuracy of the 2010 BDOT for REDD purposes;
- ☐ Diachronic studies and modeling;
- ☐ External validation of the baseline;
- ☐ Communication of the baseline scenario to the UNFCCC

39. The core of the work on the baseline scenario will be a diachronic analysis for the periods 1992-2002 and 2002-2010, and the development of a model that explains past variations in land use as recorded in the BDOT in order to subsequently provide a projection of future land use. This modeling exercise therefore involves determining the parameters of an equation that explains changes in land use observed over the two periods (1992-2002 and 2002-2010):

☐  $\text{Strata}(t2002-t1992) = \square\square(\text{parameter1}),(\text{parameter2}),(\text{parameter3}),(\text{parametern})\square$   
☐  $\text{Strata}(t2010-t2002) = \square\square(\text{parameter1}),(\text{parameter2}),(\text{parameter3}),(\text{parametern})\square$  And then to project these changes into the future by making assumptions on these parameters such as: ☐  $\text{Strata}(t2015-t2010) = \square\square(\text{parameter1}),(\text{parameter2}),(\text{parameter3}),(\text{parametern})\square$

40. The cost of all studies and activities to establish the baseline scenario is estimated at US\$610,000. Part of the consultation on the baseline scenario is planned and integrated into the consultation and participation plan laid out in Component 1c. The Baseline scenario will be mainly achieved by national institutions to be identified during the preparation phase.

#### ***4.a. National forest emissions monitoring system***

41. Burkina Faso intends to develop a system for measuring forest emissions by comparing the forest carbon stock at time  $t_1$  with a forest carbon stock at time  $t_0$ . This methodology is based on the mapping of forested formations and on the carbon content of each formation.

42. To do this, Burkina Faso will rely on the results of the National Forest Inventory Project 2, which will provide a BDOT (land use database) based on 2010 images. The nomenclature of land use, together with a minimum mapping unit of 0.25 ha, should enable the measurement of the main phenomena of sequestration, deforestation, and forest degradation.

43. Given the results of the NFI2 (National Forest Inventory 2) project, degradation and height-density indices will be added to the nomenclature to understand the phenomena of progressive degradation and sub-strata will be defined to take into account the variability of carbon stocks in agro-forestry and plantation strata. If these sub-strata are added, the land inventory required for obtaining additional data will be assigned to the NFI2 project teams, who will have acquired the necessary experience to carry this out. The NFI2 teams will also measure the below-ground biomass using REDD preparation of funds, so as to develop complete allometric equations.

44. The MRV (Measurement, reporting, and verification) system that will also include the definition of the reporting format and a proposal for sustaining the institutional basis for the monitoring of forest emissions. Finally, independent experts will validate the methodology before Burkina Faso presents it to UN-REDD, the IPCC, or the UNFCCC parties.

45. The anticipated budget for the development of the MRV system (including land inventories to be carried out by NFI2) is US\$810,000.

**4b. Co-benefits monitoring system** A study will be conducted identify the relevant indicators as well as the institutions that currently collect data on these indicators. This study will be based on the study of solutions and options for REDD and on consultations. A discussion will be held between institutions producing data on the pre-identified The study will be completed based on the initial results of SESA and will feed a second discussion between relevant institutions aimed at finalizing the institutional framework, assigning roles and developing the monitoring methodology. An initial inventory will be conducted based on the approved framework and methodologies. This inventory will be made available on an information visualization tool, which is also the basis for the MRV communication about co-benefits in the implementation of REDD.. A budget of US\$560,000 has been allocated for this component

### **5. Budget and timetable**

46. The timetable for preparation for REDD covers a period of 30 months. The total anticipated cost is estimated at US\$512,000.

**6. Monitoring Plan and Productivity Measurement Framework** Monitoring will be conducted by the FIP Coordination Unit. The table of indicators containing the periodical assessments will be published on the MEDD Internet site and accessible to visitors. Burkina Faso intends to develop at the end of the preparatory phase, a briefing file allowing for a multiparty self-assessment of REDD progress in Burkina Faso in order to assess the achievements and gaps that will have to be addressed. The budget allocated for this activity is US\$300,000

## Annex IV – Procurement Plan

### Plan de Passation des marchés pour le Don de Préparation du Projet FCPF P149827- TF017919

#### I. Général

1. **Date d’approbation par la Banque du Plan de Passation des marchés Initial** ;
2. **Date de l’Avis Général de Passation des marchés:** .....
3. **Période couverte par ce Plan** : Novembre 2014 à Décembre 2015

#### II. Biens et Travaux et services autres que ceux de consultants.

1. **Seuil de revue préalable:** au-dessus duquel les décisions de sélections sont sujettes à une revue préalable de la Banque mondiale tel que décrit dans l’annexe 1 des Directives pour l’acquisition de biens et de services autres que ceux de consultants.

Nature des dépenses	Méthode de passation de marchés	Valeur seuil du marché \$EU	Contrats soumis à examen préalable de l’IDA
<b>1. Travaux</b>	AOI	≥ 5.000.000	Tous
	AON	< 5.000.000	
	Demande de cotation – au moins 3 offres	< 200.000	
	Entente Directe	Pas de seuil	Tous
<b>2. Fournitures et services assimilés</b>	AOI	≥ 1 000.000	Tous
	AON	< 1000.000	
	Consultation de Fournisseurs à l’échelle Nationale - Au moins 3 offres	< 100.000	
	Consultation de Fournisseurs à l’échelle Nationale - Au moins 3 offres pour les véhicules et le carburant	< 500.000	
	Entente directe	Pas de seuil	Tous

#### 2. Liste globale des contrats d’équipement devant être financés sur le don de préparation

Ref. No.	Description	Cout estimé \$	Méthode de Passation des marchés	Préférence nationale (oui/non)	Revue (Prior / Post)	Date prévue pour l’ouverture des offres	Expected Proposals Submission Date	Commentaires
1	Equipements Informatique	15,000	CF	Non	Post	15/11/2014	15/12/2014	Pour Point Focal FCPF

CF= Consultations de Fournisseurs

### III. Sélection de Consultants

**1. Seuil de revue préalable:** au-dessus duquel les décisions de sélections sont sujettes à une revue préalable de la Banque mondiale tel que décrit dans l'annexe 1 des Directives pour la sélection et l'emploi de consultants.

Nature de dépenses	Méthode de passation de marchés	Valeur seuil du contrat	Contrats soumis à examen préalable
		\$EU	
<b>Consultants/Firmes</b>	SBQC <sup>4</sup> ; SBQ <sup>5</sup> ; SCM <sup>6</sup> ; SBF <sup>7</sup> , ,		Tous contrats de 200.000 \$EU ou plus
	QC <sup>5</sup>	< 200 000	Aucun
	Entente directe	Pas de seuil	Tous
<b>Consultants Individuels.</b>	Consultant individuel (AMI)	≥ 100.000	Tous contrats de <b>100.000 \$ EU</b> ou plus
	Consultant individuel (3CV)	< 100.000	
	Entente directe (ED)	Pas de seuil	Tous
<b>Tous les TDRs, quel que soit la valeur du contrat, sont soumis à examen préalable.</b>			

**2. Listes restreintes comprenant uniquement des candidats nationaux:** Les listes restreintes pour les contrats de consultants estimées à un coût inférieur à \$200,000 équivalent par contrat peuvent être entièrement composées de consultants nationaux, suivant les dispositions du Paragraphe 2.7 des Directives pour l'emploi des Consultants.

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4Sélection Fondée sur la Qualité et le Coût

5Sélection fondée sur la qualité Technique

6Sélection au moindre coût

7Sélection à Budget fixe

5Sélection basée sur les qualifications du consultant

CI : Consultant Individuel : AMI : Avis à Manifestation d'Intérêt

1	2	3	4	5	6	7
Ref. No.	Description	Montant estimé (\$US)	Methode de selection	Examen Préalable ou revue à postériori par la Banque	Date prévue pour la soumission des propositions	Commentaires
1	Conseiller Technique Composante REDD+	300,000	ED	Prior	15/11/2015	Prolongement du contrat sur FIP PPG
2	Quantification de l'impact du surpâturage	50,000	ED	Prior	31/01/2015	Projet de recherche avec un institut ou un laboratoire
3	Quantification de l'impact des feux de brousse	50,000	ED	Prior	31/01/2015	Projet de recherche avec un institut ou un laboratoire
4	Conception et mise en place d'un système de mesure et de suivi des co-bénéfices	350,000	SBQ	Prior	31/01/2015	
5	Proposition de mécanisme de gestion des plaintes et de règlement des conflits	40,000	Consultant individuel (AMI)	Post	30/11/2014	
6	Réalisation de Stratégie nationale	600,000	SBQ	Post	30/05/2015	
7	Quantification des facteurs de déforestation et évaluation de l'impact des politiques des autres secteurs (agriculture et mine)	10,000	SBQ	Post	30/05/2015	En lien avec les résultats des études sur le scénario de référence
7	Aspects sociaux de la déforestation: données quantitatives sur l'impact des migrations et de la pauvreté	70,000	SBQ	Post	30/05/2015	
	Impact des systèmes agro-sylvo-pastoraux et de l'organisation foncière sur la déforestation	75,000	SBQ	Post	30/05/2015	
8	Evaluation de l'impact du boom minier sur la déforestation	50,000	Consultant individuel (AMI)	Post	31/01/2015	
9	Evaluation Environnementale et Sociale stratégique (EESS)	80,000	QC	Post	30/11/2014	



## Annex V – Donor Support for REDD Readiness

Activities and associated budgets for Readiness were presented in the R-PP. Revisions to these amounts were revised based on the receipt of financing additional to what was first anticipated from the FCPF (\$3.8M allocated versus \$1.5M initially anticipated). The financing available from complementary projects (FIP DFWM PROJECT and PGFC/REDD+) was also refined based on the detailed activities of those projects. Below is a table with the revised amounts for each component of the R-PP followed by a table with the amounts as they were presented in the R-PP.

Activities to be financed for REDD+ Readiness, reflecting <b>revised</b> amount \$3.8M, (US\$,000)					
Comp onent	Activity	FCPF	DFWM	PGFC/ REDD+	Others (AFD, IFN, PASF...)
<b>1a</b>	Establish general framework and consultation structures for REDD+ (ex. decrees, update CONEDD statutes, creation of platform within SP/CONEDD)		30		Technical support PASF
	Technical Assistance for UCP and Focal Point	300	150		
	Coordination of REDD+ process and support to Focal Point	250			
	Organization of meetings, training, information for the National REDD Committee and the National Platform		200		
	Collaboration with Ministry of Justice for forestry law enforcement, reinforce governance (training on Env. Law ...)	350			
	Study of and setting up a grievance mechanism, including related communication	300			
<b>1c</b>	Consultations (including organization and support)		2 427		
<b>2b</b>	Consultancy firm to support UCP and design the national strategy	750			Technical support PASF
	Baseline studies on drivers of DD (with quantitative information), policy and governance, impact of overgrazing, impact of bush fires	500			
	Workshop, editing, dissemination, communication, training about the REDD+ strategy		400		
<b>2c</b>	Study on the involvement of the mining (and/or other) sector in REDD+ strategies	150			
<b>2d</b>	SESA	100			
<b>3</b>	BDOT 2002-2010			150	IFN2
	Development of Reference Emissions Level (REL)			320	IFN2
	Independent evaluation of the baseline scenario – supervision, integration of results	100			IFN2
<b>4a</b>	Development of Monitoring and Reporting System Action Plan			60	
	Development of detailed Monitoring and Reporting System			326	
	Equipment for CNSIF			231	IFN2
	Complementary carbon measurements (below ground)			312	IFN2
	Evaluation of the system – supervision, integration of results	100			

<b>4b</b>	Creating a co-benefit monitoring system	300	330		
	Independent evaluation of co-benefit monitoring system	100			
<b>6</b>	Self-assessment and preparatory file – R-Package	300			
	Analysis of pilot experiences			900	
<b>Other</b>	Communication at international level, research for additional funds		FIP	FIP	AFD
	Implementation (FM support, audit, other...)	200			
<b>TOTAL (US\$M)</b>		3.8	3.267	2.250	

As indicated in the R-PP based on an amount of \$1.5M					
	Activity	FCPF	DFWM	PGFC/REDD+	Autres (PASf, AFD...)
1a	Establish general framework and consultation structures for REDD+ (ex. decrees, update CONEDD statutes, creation of platform within SP/CONEDD)		30		Technical support PASF
	Technical Assistance for CN-REDD		425		
	CN-REDD operations		175		
	Organization of meetings & training/information for the National REDD Committee and the National Plateform		200		
	Study to propose a grievance mechanism	100			
1c	Consultations (including organization and support)		2 427		
2b	Contracting of the consultancy firm to support the REDD+ process and design the national strategy		750		Technical support PASF
	baseline studies (Study on the DD drivers (with quantitative information), policy and governance, impact of overgrazing, impact of bush fires	350	150		
	Workshop, editing, dissemination, communication, training about the REDD + strategy		400		
2c	Study on the involvement of the Mining sector in REDD strategies	200			
2d	SESA	40	75		
3	BDOT 2002-2010				UFB2
	development of a model on carbon stock evolution			550	IFN2
	external evaluation of the baseline scenario			60	IFN2
4a	Equipment for IFN2			60	IFN2
	Inventory				IFN2
	technical development of the system			240	IFN2
	Contract with IFN2 for below ground measurements			500	IFN2
	evaluation of the system	60			
4b	Creating a co-benefit monitoring system	500	60		
6	Self-assessment and preparatory file	300			
	Analysis of the pilot experiences				
	Communication at international level, research for additional founds		FIP	FIP	AFD

## **Annexe VI –Termes de Reference de l'EESS**

### **Termes de Référence**

#### **EVALUATION ENVIRONNEMENTALE ET SOCIALE STRATEGIQUE (EES) DE LA MISE EN OEUVRE DU PROCESSUS REDD AU BURKINA FASO**

##### Préambule

La stratégie exploratoire REDD+ au Burkina Faso vise à contribuer à l'atténuation des émissions des Gaz à Effet de Serre (GES), à réduire la pauvreté et à relancer la croissance économique à travers la gestion durable et équitable des forêts, la valorisation des services environnementaux et le renforcement du stock du carbone forestier. Ce processus se veut innovant et participatif en associant les organisations de la société civile, des communautés forestières et locales, le secteur privé et le milieu scientifique dans le choix des options stratégiques et la préparation du pays.

Néanmoins, en dépit des retombées positives escomptées au niveau de la lutte contre le changement climatique, le redémarrage de l'économie et l'amorce de nouveaux programmes multisectoriels de développement en période post-confit peut avoir des impacts négatifs collatéraux sur l'environnement et les communautés locales. De plus, l'attente des populations riveraines et locales se focalise de façon pressante sur des résultats concrets portant notamment sur l'éradication de la pauvreté et le partage équitable des bénéfices entre les parties prenantes et aux niveaux national et local. La compensation des populations pouvant être affectées négativement et le maintien des usages traditionnels des forêts correspondent aussi aux attentes exprimées.

Il est donc nécessaire d'élaborer une Évaluation Environnementale et Sociale Stratégique (EES ou SESA en sigle en anglais) afin d'évaluer les effets positifs et négatifs que pourraient générer les options stratégiques REDD+ proposées par le gouvernement et de contribuer à affiner cette stratégie. L'EES doit donc adopter une démarche participative et se situer en amont du processus REDD. Elle doit porter une attention particulière aux intérêts des groupes sociaux les plus vulnérables, et notamment riverains des forêts.

Le processus de préparation de l'EES doit se faire en dialogue avec les autres études en préparation dans le processus national REDD+, ainsi qu'avec la préparation de la stratégie d'investissement pour les Programmes d'Investissements pour les Forêts (PIF).

L'élaboration de l'EES doit se référer aux dispositions réglementaires en vigueur et à la prise en compte de l'adhésion du pays aux conventions internationales et aux accords multilatéraux sur l'environnement. L'EES prendra aussi en considération les principes qui découlent de la réglementation burkinabe applicable aux différents secteurs concernés, y compris les conventions internationales ratifiées par le Burkina Faso et les lois, usages, coutumes locales ainsi que les pratiques internationales qui protègent les droits des citoyens, notamment en cas d'impact sur leur cadre de vie, leurs droits traditionnels et d'accès aux ressources.

Ces TdRs portent sur une consultation impliquant des compétences nationales et internationales en vue d'élaborer une EES relative à la mise en œuvre des options stratégiques REDD+. Dans la suite de ce document, le terme 'processus' désigne la stratégie REDD+ du Burkina Faso et son cadre de mise en œuvre.

### Objectifs et Résultats attendus

L'objectif global de l'EESS est d'identifier les opportunités d'améliorer les nouvelles conditions environnementales et sociales pouvant découler de la mise en œuvre du processus REDD+ au Burkina Faso, d'identifier des alternatives aux possibles impacts sociaux et environnementaux négatifs de la mise en œuvre du processus REDD, de mettre en place un cadre de gestion environnementale et sociale pour la mise en œuvre de la stratégie nationale REDD+.

L'EESS doit fournir plus particulièrement les résultats suivants :

1. Décrire la situation de départ sur le plan social et environnemental concernant les ressources forestières au Burkina Faso, ainsi que les programmes/activités de la stratégie REDD+ préliminaire ;
2. Examiner la pertinence socio-environnementale de la Stratégie REDD+ préliminaire préconisée par le Burkina Faso. Décrire pour ce faire, les contraintes (politiques, sociales, institutionnelles) qui pourraient s'opposer aux effets attendus ou produire des contre effets négatifs, par exemple en matière d'accès aux ressources naturelles, de sécurité alimentaire, de revenus pour les ménages agricoles. La conception et la gestion du mécanisme de répartition et de gestion des revenus REDD+ seront particulièrement analysées, avec le but d'évaluer le risque qu'il ne profite pas ou faiblement aux populations impliquées ;
3. Analyser les impacts potentiels sociaux et environnementaux d'une évolution des secteurs ayant trait au processus REDD+ (Forêts, Eaux, Energie, etc.) en l'absence de la mise en œuvre du processus (Option BAU : 'Business-as-usual') ;
4. Pour les différentes options stratégiques retenues du processus, y compris pour celles qui découleraient des suggestions nouvelles faites au point 2, identifier et analyser tout impact environnemental et social dommageable, direct ou indirect, résultant du processus REDD+ et qui pourrait affaiblir sa durabilité ou empêcher l'atteinte de l'objectif de réduction de la pauvreté ou porter atteinte aux particularités et au mode de vie des populations locales. Identifier les principaux besoins en information et en études analytiques futures pour affiner cette analyse d'impact. Le consultant devra aussi analyser la Stratégie d'Investissement pour le Programme d'Investissement pour les Forêts (PIF) préparée par le Burkina Faso;
5. Proposer des améliorations à la stratégie pour optimiser ses incidences positives et éviter, atténuer ou compenser ses impacts négatifs potentiels et proposer l'alternative pertinente et compatible avec la protection de l'environnement et les intérêts affichées des populations forestières et locales.
6. Préparer un Cadre de Gestion Environnementale et Sociale pour la mise en œuvre de la Stratégie Nationale REDD+. Ce Cadre devra être raffiné tout au long du processus REDD+ ;
7. Évaluer la conformité de la stratégie nationale REDD+ proposée aux politiques de sauvegarde de la Banque mondiale;
8. Proposer une série de mesures, concrètes et pratiques, visant à protéger l'environnement, à assurer le bien-être des populations (notamment les populations forestières et locales), à les intégrer pleinement dans le processus REDD+ et à leur offrir l'opportunité de poursuivre leurs usages traditionnels des forêts qui sont non préjudiciables à l'environnement ;
9. Proposer un plan de renforcement des capacités institutionnelles pour améliorer la gestion environnementale et sociale du processus REDD+ au Burkina Faso.

### Dispositif institutionnel de mise en œuvre de l'EESS

Le Ministère de l'Environnement et de Développement Durable (MEDD) constitue l'interlocuteur contractuel du Consultant. Le dialogue, la préparation et le suivi de l'exécution de l'EESS seront assurés par l'unité nationale de Coordination REDD+, la même que l'unité nationale de Coordination PIF, sous la

supervision du Coordinateur du PIF et le Point Focal REDD+. Toutes les parties prenantes seront associées à ce processus à travers leur participation au Comité de Pilotage ainsi que par les consultations participatives menées par le Consultant.

Les activités du Comité de pilotage seront coordonnées par le l'unité nationale REDD+ et ses membres sont tenus de fournir (sous une dizaine de jours ouvrables) leurs commentaires sur les rapports périodiques et le rapport final. Pour l'appuyer dans sa mission, le Comité de pilotage peut recourir aux services des consultants nationaux et/ou internationaux. Le Comité de pilotage a aussi le rôle de s'assurer que les résultats de l'EESS soient effectivement incorporés dans la sélection des options stratégiques pour la Stratégie Nationale REDD+.

Un atelier de lancement du processus devra s'organiser dès que le prestataire sera recruté, où les spécificités du cadrage méthodologique de la prestation seront discutées.

Dès le début des travaux, le Consultant tiendra une réunion avec le point Focal REDD+ et le Coordonnateur du projet PIF afin (i) d'exposer et discuter son plan de travail, et (ii) établir les modalités de travail, y compris pour les revues périodiques des rapports d'étapes et les consultations publiques. Pour ce dernier point, l'unité de coordination veillera à ce qu'un processus clair de consultation préalable libre et informée des populations locales soit établi, pour identifier totalement leurs perspectives et leur faire correspondre des mesures actives.

#### Tâches du consultant

Le processus de réalisation de l'EESS peut se diviser en étapes comme suit :

**Tâche 1 :** Identification des principales composantes du processus REDD+.

**Tâche 2:** Préparation et soumission du plan de travail avec le comité de pilotage et organisation d'un atelier de lancement de l'étude.

**Tâche 3 :** Description de la situation initiale socio-environnementale, des causes et des facteurs de la déforestation et dégradation des forêts, de la stratégie REDD+ préliminaire ; recommandations éventuelles pour améliorer la stratégie. L'EESS devra capitaliser sur les résultats des études en cours (notamment l'étude sur les causes de la déforestation et dégradation, et l'étude sur le retour des expériences nationales de réduction de la déforestation et dégradation).

**Tâche 4 :** Analyse des impacts potentiels du scénario 'Sans processus REDD+' (*Business As Usual*).

**Tâche 5 :** Analyse des potentiels risques et impacts socio-environnementaux induits par la stratégie REDD, y compris la stratégie d'investissement pour le Programme d'Investissement pour les Forêts.

**Tâche 6 :** Analyse des impacts résiduels de l'alternative REDD+ proposée et des activités qu'elle prévoit.

**Tâche 7 :** Évaluer la conformité avec les Politiques de sauvegarde de la Banque mondiale (quand elles s'appliquent).

**Tâche 8 :** Elaboration d'un Cadre de Gestion Environnementale et Sociale (CGES) et d'un Plan de Renforcement des Capacités dans les domaines de l'Evaluation, la Gestion et le Suivi Environnementaux. Ce CGES devra être raffiné tout au long du processus REDD+.

Elaboration d'un Cadre de Politique de Réinstallation (CPR), d'un Cadre fonctionnel (CF), d'un Cadre de Gestion des Ressources Culturelles Physiques (CGRCP), d'un Plan de Gestion des Pestes et Pesticides (PGPP) ; d'un Cadre de Politique d'information.

**Tâche 9 :** Documentation des résultats de l'analyse, des enquêtes et des consultations publiques ; organiser un atelier final de restitution de l'étude.

Des détails requis pour chaque tâche sont donnés à titre indicatif ci-dessous. La séquence des tâches et leur contenu et degré de détails restent flexibles. Le consultant peut les enrichir sous réserve de faire valider toute modification par le comité de pilotage.

....

**Tâche 1 : Identifier les principales composantes du processus REDD+,** Déterminer la portée de l'évaluation (c'est-à-dire les enjeux environnementaux et sociaux à prendre en considération), le niveau d'effort et les tâches requises pour réaliser l'EES. Dans l'éventualité que des impacts importants sont à anticiper, l'évaluation doit commencer par la collecte et l'analyse des données de base permettant :

- L'évaluation des politiques, lois et règlements environnementaux et sociaux pertinents ;
- La description de l'état des principales composantes du R-PP touchant les questions environnementales et sociales ;
- L'identification des enjeux environnementaux et sociaux clés associés à la stratégie REDD+ préliminaire ;
- L'identification des principales parties prenantes concernées par les enjeux identifiés ;
- La détermination des besoins pour l'analyse détaillée des effets potentiels (Études techniques requises, Expertise requise (autre que l'équipe), Participation du public et implication des parties prenantes) ;

**Tâche 2 : Confirmation du plan de travail avec le CS :** Confirmation au démarrage de l'étude des principales caractéristiques de l'EES ainsi que du plan de travail, particulièrement en ce qui concerne les zones géographiques et les thèmes qui feront l'objet d'analyses plus spécifiques ainsi que les modalités précises d'intervention. Celles-ci concernent la participation des parties concernées et des groupes et communautés potentiellement affectés, le processus de consultation, de préparation et de discussion des rapports d'étapes.

**Tâche 3 : Description de la situation de départ socio-environnementale, et du processus REDD+.**

Cette tâche consiste à collecter, analyser et présenter les données de base relatives à l'état actuel environnemental et social du secteur forestier au Burkina Faso. Cette partie descriptive s'appuiera sur les textes de lois et autres documents de référence.

1. **Description de l'environnement naturel :** notamment la cartographie de base, les divers écosystèmes, les ressources forestières, la biodiversité, les fonctions des forêts pour la régulation du climat et des eaux, les espèces menacées et/ou endémiques, et les habitats critiques, sensibles et/ou en danger, le réseau des aires protégées. Elle décrira les menaces et opportunités qui impactent ces écosystèmes.

2. **Description du contexte social :** Ce travail se base sur la consultation directe des groupes concernés, la récolte de données de terrain, la compilation d'études existantes ; y inclus les données démographiques et socio-économiques de base, les aires de distribution des groupes ethniques. Ceci compte aussi l'analyse de la structure des communautés forestières y compris leur organisation sociale et les institutions locales, les rôles des différents groupes sociaux, les systèmes économiques, les liens avec l'économie nationale et régionale, les systèmes traditionnels d'accès aux ressources et à la terre, les problèmes de santé y compris le SIDA, et l'identification des impacts positifs et négatifs des activités forestières sur les différents groupes sociaux. Elle établira un 'stakeholders mapping'. Évaluer autant que possible les états de domination des groupes les uns par rapport aux autres et les relations entre ces groupes.

3. **Description du cadre légal et institutionnel :** Le consultant décrira le cadre législatif, réglementaire et institutionnel qui régit le secteur forêts et conservation de la nature. Il rappellera les dispositions-clefs du

code forestier de 2011, et des conventions internationales qui lient le Burkina Faso. Il indiquera comment le secteur est pris en compte dans les principaux cadres de développement socio-économique du pays, tels que la SCADD, la politique de décentralisation, etc. Il rappellera les constats et recommandations de la revue institutionnelle du secteur. Le consultant vérifiera la concordance du processus REDD+ avec les conventions internationales.

**4. Description du processus REDD+ :** Partant des orientations de politique décrites ci-haut, le Consultant décrira les composantes stratégiques et activités proposées dans le processus REDD+. Cette description se fera en réponse aux risques et opportunités identifiés. Le consultant résumera la stratégie d'intervention proposée, les activités ou plans annuels d'activités envisagés, les résultats ciblés, et les zones géographiques considérées.

**Tâche 4 : Analyse des impacts potentiels du scénario 'Sans Processus REDD+' ou 'BAU : Business-As-Usual'.** Le Consultant identifiera, autant que possible en termes quantitatifs, les impacts sociaux et environnementaux, aussi bien positifs que négatifs, qui résulteraient d'une évolution des secteurs ayant trait au processus REDD si ce dernier ne serait pas en œuvre. Il analysera notamment les risques suivants :

- risque d'exacerbation des conflits et des tensions sociales (en particulier avec les migrants) et leurs menaces sur les habitats naturels
- risque d'aggravation ou d'apparition de nouvelles formes non-contrôlée de l'agriculture et de l'exploitation du bois en rapport avec l'absence d'une stratégie d'accompagnement du secteur informel, de gestion du bois de chauffe et le soutien insuffisant à la réhabilitation des parcs nationaux,
- risque lié à l'absence de zonage participatif,
- risque dû au statu quo et à la faiblesse de la capacité institutionnelle, et à l'absence de la transparence et la participation du public,
- risque d'absence d'un cadre d'harmonisation des bailleurs.

**Tâche 5 : Analyse des alternatives et les impacts de la stratégie REDD+.** Le consultant analysera aussi les alternatives qui s'offrent au gouvernement et à ses partenaires. Il indiquera par quel autre moyen, qui ne soit pas déjà inclus dans le processus REDD+, le gouvernement et ses partenaires pourraient éventuellement poursuivre les objectifs de réduction de la pauvreté, de protection de l'environnement, de développement socio-économique, et de protection des droits traditionnels, et d'harmonisation de l'aide. Les alternatives discutées devront être réalistes, c'est-à-dire notamment tenir compte des programmes de développement déjà en cours dans les autres secteurs, et de la capacité réelle d'action et d'influence du gouvernement et de ses partenaires. Le consultant indiquera comment de telles alternatives seraient incorporées au processus REDD+.

Pour chaque composante, activité ou méthodologie proposée dans le cadre du processus REDD+, le consultant analysera les impacts possibles, positif ou négatifs, sur les habitats naturels, les forêts et l'environnement ; ainsi que sur les modes de vie traditionnels et les droits d'accès aux ressources, et sur l'égalité d'accès aux opportunités de développement, spécialement pour des groupes qui risquent d'être marginalisés comme les communautés locales. Il identifiera les risques que le processus REDD+ proposé provoque des déplacements physiques involontaires, ou diminue l'accès aux ressources, la production de ressources – notamment alimentaires - et de revenus, ou altère le mode de vie des populations locales, par rapport à la situation de départ et au scénario sans processus REDD+. Il portera une attention particulière sur les impacts susceptibles d'être irréversibles. Il identifiera ces impacts positifs ou négatifs, par comparaison avec le scénario 'sans processus REDD+'.

Le même exercice devra être assuré pour la Stratégie d'Investissement pour le Programme d'Investissement pour les Forêts (*Forest Investment Program*, en anglais). Cette Stratégie d'Investissement servira à la programmation des investissements du PIF et devra être en parfaite harmonie avec et contribuer à la Stratégie Nationale REDD+.

**Tâche 6 : Analyse des impacts résiduels de l'option retenu.** Le consultant identifiera les impacts aussi bien positifs que négatifs susceptibles d'être observés comme conséquence de la mise en œuvre de la Stratégie National REDD+. Il distinguera les impacts directs, indirects, cumulatifs, immédiats et futurs, autant que possible de façon quantitative. Comme pour le volet précédent, cette évaluation gardera un caractère sectoriel sans nécessairement identifier les impacts dans des sites ou à des moments précis. Le consultant établira une grille indiquant les options stratégiques de la Stratégie REDD+, les principaux ajustements et mesures d'atténuation proposées, et la conformité aux politiques de sauvegarde concernées.

**Tâche 7 : Évaluer la conformité avec les Politiques de sauvegarde des bailleurs et autres partenaires techniques :** Sur base des analyses et propositions ci-dessus, le consultant analysera si le processus REDD est conforme avec les politiques de sauvegarde de la Banque mondiale. A titre d'exemple, les politiques et procédures relatives à : l'Évaluation Environnementale, les Habitats Naturels, les Populations locales, les Ressources Culturelles Physiques, la gestion des pestes et des pesticides, la Réinstallation Involontaire des personnes et des populations, les Forêts, etc. Par ailleurs il est important que l'EESS confirme parmi les objectifs majeurs du REDD : (i) réguler les activités dans le secteur des forêts et promouvoir la lutte contre la déforestation et la dégradation des forêts, (ii) éviter le déplacement involontaire de populations, et (iii) protéger et promouvoir les droits et opportunités des populations locales par rapport à la situation de départ.

**Tâche 8 : Développement d'un Cadre de Gestion Environnementale et Sociale (CGES).** Le consultant doit faire toute proposition visant à renforcer l'impact du processus REDD+ sur la qualité de l'environnement, sur le bien-être social, culturel et économique de la population et spécialement les groupes les plus dépendants des forêts, sur les écosystèmes et la biodiversité ainsi que sur le respect des modes traditionnels d'usage des ressources naturelles, et sur les processus de consultation et de participation des communautés. Le CGES doit notamment traiter des questions sous-indiquées :

**1.** Le consultant recommandera les procédures à mettre en œuvre tout au long du processus REDD+ en vue d'adopter des mesures de gestion et de suivi environnemental et social qui visent

à atténuer ou à éviter les impacts négatifs. A cette fin, il proposera une méthodologie simple de 'screening' pour vérifier du point de vue social et environnemental les activités qui seront proposées d'année en année dans les plans de travail annuels de façon à écarter ou réviser celles qui risqueraient d'avoir un impact négatif (sorte de « check-list » à suivre). Il proposera les TDR des études simplifiées préalables pour chaque projet financé par le REDD+, ainsi que ceux des études détaillées simplifiées requises dans les cas de déclenchement nécessaire des politiques de sauvegarde.

**2.** Il proposera aussi un système simple de suivi évaluation des impacts sociaux et environnementaux, avec des indicateurs de suivi ainsi que les procédures et méthodologie d'évaluation correspondantes. Enfin, le consultant proposera une méthodologie de consultation publique pour la conduite et le suivi-évaluation du processus REDD+.

**3.** Il fera des propositions concrètes pour accroître l'information du public sur la gestion des forêts, et pour accroître l'implication des communautés locales, spécialement les communautés dépendant de la forêt, des ONG et autres institutions de la société civile et du secteur privé dans l'exécution et le suivi du processus REDD+, et dans la gestion du secteur en général.

**4.** Le consultant proposera des mesures de renforcement de capacités nationales pour assurer que les mesures du CGES soient effectivement mises en œuvre, y compris au niveau du gouvernement, des universités, des ONGs, et des groupes sociaux concernés. Il proposera les institutions publiques et/ou de la société civile susceptibles de mener ce travail de renforcement, et définira le budget nécessaire. Ce processus de renforcement des capacités pourrait inclure des ajustements institutionnels ou de procédures, des recrutements ou de nouvelles affectations et des formations pour les cadres des institutions nationales, locales et régionales et les organisations de la société civile.



5. Les coûts estimatifs du CGES devront être évalués pour chaque mesure recommandée. A défaut d'une estimation précise, une méthodologie pour l'évaluation de ces coûts sera proposée. Cette estimation inclut les besoins de renforcement institutionnel et de formation pour l'application des dites mesures.

6. Le consultant présentera le CGES sous forme de mesures incorporées directement dans les activités du processus REDD+ (ex. améliorations de méthodologie, compléments aux activités proposées) de sorte que ce CGES ne constitue pas un processus parallèle.

7. 8. Le CGES sera également accompagné d'un Cadre de Politique de Réinstallation (CPR) et d'un cadre Fonctionnel qui doivent être mis en œuvre en cas de nécessité d'une réinstallation involontaire de populations ou en cas d'une restriction d'accès aux ressources forestières et/ou en biodiversité pour des populations riveraines par exemple d'une concession forestière ou d'une aire protégée.

9. Le CGES sera également accompagné d'un Cadre de Gestion des Ressources Culturelles Physiques qui doit être mis en œuvre dans les cas où les programmes et activités du processus porteraient atteinte au patrimoine culturel physique ou moral ou à des pratiques ou de coutumes traditionnelles.

**Tâche 9 : Documentation des résultats de l'analyse, des enquêtes et des consultations publiques** : Se conformer au contenu des annexes : voir Paragraphe VI. Produit attendu - Structure du rapport final de l'EESS. 9

## **VI. Livrables**

Les livrables de cette prestation seront divisés en trois :

- 1) Rapport préliminaire d'analyse (situation de départ et scénario '*business as usual*');
- 2) Rapport préliminaire portant sur l'analyse sociale et environnementale des options stratégiques de la REDD+;
- 3) Rapport global final, incluant le Cadre de Gestion Environnementale et Sociale. La structure détaillée du rapport final se trouve dans l'Annexe 2.

Le prestataire devra fournir 10 (dix) copies imprimées de chaque rapport, ainsi que les copies électroniques.

## **VII. Méthodologie de travail**

Des visites de terrain doivent couvrir au moins trois grandes zones représentatives de la diversité naturelles, climatique et socioéconomiques du pays. Des consultations locales, régionales, thématiques et/ou par groupes d'intérêt seront organisées tout au long de la réalisation de l'EESS.

Ces consultations locales et ateliers provinciaux associeront les autorités locales, les chefs coutumiers, les associations de femmes, de jeunes, les groupements socioprofessionnels, les groupes vulnérables, les media, etc. Un accent particulier sera consacré à la participation des communautés locales dépendant de la forêt, vulnérables ou minoritaires. Les techniques de consultation seront spécialement adaptées pour assurer que les points de vue de ces groupes soient correctement, directement, et pleinement reflétés dans l'EESS. Ces consultations placeront l'accent sur l'information et la compréhension des acteurs, et sur l'émergence d'une vision commune quant aux impacts et aux mesures d'atténuation.

L'étude se déroulera sur une durée totale de 6 à 8 mois, comptant sur les activités suivantes:

- Confirmation du plan de travail par le CS – dès le démarrage
- Rapport d'étape et atelier national de consultation et enrichissement
- Draft du rapport final et atelier national de restitution
- Rapport final

En plus des honoraires, per diem et voyages internationaux, le Consultant inclura dans son offre un budget pour des ateliers, des consultations locales, des déplacements intérieurs, et autres coûts afférents à la réalisation de l'EESS.

L'EESS sera rendue publique, et approuvée selon les procédures en vigueur au Burkina Faso. Les rapports intermédiaires et finaux seront largement diffusés dans des lieux publics, par voie de presse et sur internet, pour pouvoir être consultés et commentés, avant la validation définitive.

### **VIII. Expérience du prestataire**

Le Consultant, doit disposer d'une expérience de 10 ans au minimum pour au moins trois études d'impact environnemental et/ou des EESS réalisées en conformité aux politiques de sauvegarde des PTF (quand elles s'appliquent). Le travail impliquera un volume d'expertise d'au moins 18 personne/mois, dont 13 nationaux et 5 internationaux. Il sera exécuté par une équipe pluridisciplinaire incluant au minimum les spécialités suivantes :

- Sciences de l'environnement et biodiversité (env. 4 pm)
- Sciences sociales, développement communautaire, régimes fonciers (env. 5 pm)
- Anthropologie/sciences sociales, (env. 4 pm)
- Juriste spécialiste des forêts, environnement et droits coutumiers (env. 1 pm)
- Communication, animation de processus participatifs et médiation (env. 2 pm)

En respectant ces consignes, le Consultant peut proposer les spécialités, le nombre exact d'experts et le temps de travail de chaque membre de l'équipe, qu'il estime nécessaire pour la réalisation du mandat selon les meilleurs standards internationaux. En tout état de cause, les experts disposeront d'une expérience scientifique dans leur spécialité respective, d'une expérience d'au moins cinq ans ou plus en études d'impacts pour des programmes complexes, et d'une connaissance approfondie des problématiques environnementales et sociales en Afrique subsaharienne, de préférence en Afrique de l'Ouest et surtout au Burkina Faso. La participation de l'expertise nationale notamment celle des membres d'ONG locales au sein de l'équipe est un atout. Au minimum 80% du temps d'expertise internationale se déroulera au Burkina Faso.