

**INTEGRATED SAFEGUARDS DATA SHEET
(FCPF READINESS FUND)
CONCEPT STAGE**

Report No.: 60247

Date ISDS Prepared/Updated: February 28, 2011

I. BASIC INFORMATION

A. Basic Project Data

Country: Democratic Republic of Congo		Project ID: P124072	
Project Name: DRC – REDD Readiness Preparation Support			
Task Team Leader: Simon Rietbergen			
Estimated Appraisal Date: N/A		Estimated Board Date: N/A	
Managing Unit: AFTEN		Lending Instrument: TF grant	
Sector: Agriculture, Fishing and Forestry			
Theme: Climate Change and Forestry			
FCPF Amount (US\$m.): US\$ 3.4 million			
Environmental Category: B			
Simplified Processing		Simple <input checked="" type="checkbox"/>	Repeater <input type="checkbox"/>
Is this a transferred project		Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>

B. Project Objectives:

The Project Development Objective is to reinforce DRC's capacities to design a socially and environmentally sound national strategy to reduce emissions from deforestation and forest degradation (REDD+) and to develop a national reference scenario of emissions from deforestation and degradation that takes into account national circumstances.

Key results are:

1. A National REDD+ Strategy (including the legal framework) is prepared and validated by national stakeholders;
2. National circumstances affecting the reference scenario are identified and quantified.
3. A Strategic Environmental and Social Assessment (SESA) is prepared and validated by national stakeholders.

C. Project Description [from section 3 of R-PP Assessment Note]:

The overall financial envelope needed for achieving REDD+ Readiness in the DRC is USD 22 million. The country has secured USD3.4 million from the FCPF and USD5.5 million from the UN-REDD Programme (totaling USD 8.9 million) to contribute towards the implementation of the activities identified in the R-PP. This secured financing will allow DRC to implement the most strategic and priority activities of the REDD+ Readiness process, allowing the country to implement the key aspects of REDD Readiness. FCPF and UN-REDD are also playing an important leverage for additional funding for the overall process. Various partners have already indicated their willingness to provide further funding to the Readiness process, including the Congo Basin Forest Fund (managed by the African Development Bank) and the Japanese government (especially to the MRV section). The Government is also actively seeking the support from other partners.

Considering the level of priority for each REDD Readiness activity, and drawing on the comparative advantages of the agencies supporting the REDD+ Readiness Program in the DRC, the FCPF and the UN-REDD Programme agreed on the activities to be financed by each agency. The description below pertains to those activities to be financed by the FCPF.¹ The FCPF- and UN-REDD-financed activities cover the priority needs for Readiness in DRC.

It should be noted that the activities to be financed by the FCPF in support of the REDD+ Readiness Program in DRC do not include the implementation of REDD+ programs on the ground. The FCPF support is limited to analytical studies, capacity building, and consultation processes at the national and sub-national levels. Through the Readiness Program, the government is expected to identify priority investment needs to achieve the goals of REDD+. These investment needs will be financed by public and private donors and investors and the Government itself, and not by the FCPF Readiness Grant.

Component 1: Support to the coordination of the REDD+ Readiness Process and Multi-stakeholder Consultations	\$1.2
1.1 - Coordination of the REDD+ Readiness Process	\$0.9
1.2 - Promotion of Multi-stakeholder Consultations	\$0.3
Component 2: Contribute to the design of a national REDD+ Strategy	\$1.3
2a - Preparation of the National REDD+ Strategy	\$0.4
2b - Preparation of the REDD+ Implementation Framework	\$0.5
2c - Strategic Environmental and Social Assessment	\$0.4
Component 3 - Preparation of a Reference Scenario	\$0.6
Component 4 - Project Management	\$0.3
TOTAL	\$3.4

¹ Note that the organization in component for the objective of the FCPF REDD Readiness Preparation Support is not the same as the components presented in the R-PP.

D. Project location and salient physical characteristics relevant to the safeguard analysis:

This project does not entail activities on the ground. Rather, it is focused on providing technical assistance to the government for the development of technical and institutional capacities to participate in a future international REDD+ mechanism.

E. Borrower's Institutional Capacity for Safeguard Policies:

National institutional capacity for the monitoring and implementation of safeguards is very weak in the DRC, at all levels (national, provincial and local) and across Ministries (environment, agriculture, mines, land issues). The body mandated by Ministerial decree to review and approve the evaluation of social and environmental impact assessments, the *Groupe d'Etudes Environnementales du Congo (GEEC)*, does not have the human and technical resources to effectively carry out its mandate. At the provincial level, government agencies (including those attached to the Ministry of Environment) often do not have the equipment necessary to monitor social and environmental impacts, their staff lacks training, and management capacity is very thin.

National capacity for the implementation of the World Bank's Indigenous Peoples Operational Policy (OP 4.10) is also very weak. The national legal and institutional framework for involuntary resettlement does not conform to the standards of the Bank's Operational Policy on Involuntary Resettlement (OP 4.12). Nevertheless, there is no direct conflict between the Bank's policy and national legislation, but rather a difference in the level of standards imposed.

A new law – *Loi Cadre sur la Gestion et la Protection de l'Environnement* – is presently being discussed in Parliament and, inter alia, mandates the creation of a National Environment Agency (*ANE – Agence Nationale de l'Environnement*), which would replace the GEEC as the national agency with overall responsibility for social and environmental impact assessments. It is expected that the creation and initial functioning of this agency will be supported by World Bank operational projects, including the Promines project, which is expected to provide USD 3 million to the establishment of the Agency. DRC's R-PP would also set aside financing (USD 150,000) for the support of ANE's activities, as it is supposed to play an important role in the Strategic Environmental and Social Assessment (SESA) process, as well as in analyzing the social and environmental impacts of REDD+ projects.

In addition, the World Bank funded Forest and Nature Conservation Project is strengthening national capacities to design, implement, and monitor safeguards. The project will support the creation of a social and environmental unit attached to the Ministry of the Environment and will reinforce environmental and social management capacity at the provincial level and within the Congolese Nature Conservation Institute (ICCN).

The Strategic Environmental and Social Assessment (SESA) for the National REDD Readiness process will be led by the National REDD Coordination and carried out through inclusive consultations, and in close coordination with other analytical studies. The exercise will be directly supervised by a National SESA Overseeing Committee, made up of representatives from government, civil society, and the private sector. This Committee will be in charge of overseeing

the preparation of the SESA and of ensuring it feeds into the preparation of the National REDD+ Strategy.

The SESA exercise itself will assess the national capacity needs required for the country to be capable of monitoring and implementing the safeguards related to a national REDD+ mechanism and will make recommendations for institutional strengthening. The grant will also finance various capacity building activities for this group.

F. Environmental and Social Safeguards Specialists on the Team:

Paul Martin	Sr. Environmental Specialist	AFTEN
Mohamed Arbi Ben-Achour	Lead Social Development Specialist	AFTCS

II. SAFEGUARD POLICIES THAT MIGHT APPLY

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). In order to identify the potential negative consequences from the implementation of the National REDD+ Strategy, the country will carry out a Strategic Environmental and Social Assessment, which should ensure: i) the integration of social and environmental considerations into the final REDD+ Strategy; ii) a participatory process for the preparation of the national REDD+ strategy; and iii) the establishment of an Environmental and Social Management Framework (ESMF) to support the country in managing and mitigating potential future negative consequences from the implementation of the REDD+ strategy.

Safeguard Policies Triggered	Yes	No	TBD
Environmental Assessment (OP/BP 4.01)	X		
The Strategic Environmental and Social Assessment (SESA) to be carried out under the project will serve to identify, avoid, and mitigate 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.			
Natural Habitats (OP/BP 4.04)	X		
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.			
Forests (OP/BP 4.36)	X		
Overall, REDD+ activities are expected to have significant positive impacts on forest, in that the main			

Safeguard Policies Triggered	Yes	No	TBD
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.			
Pest Management (OP 4.09)			X
This policy could be triggered depending on the final scope of the National REDD+ Strategy. Agricultural intensification and reforestation activities, for instance, could trigger this policy, depending on the methods employed by concrete activities on the ground to manage pests. The SESA will address critical issues related to pest management, as necessary, and these will also be included in the key elements for the ESMF.			
Physical Cultural Resources (OP/BP 4.11)			X
This policy could be triggered if REDD+ activities promote actions in areas containing sites deemed physical cultural resources by the Indigenous Peoples living there (e.g. holy/secret sites such as sacred groves, sacred forests, etc.). Though it is not anticipated that the project will have negative impacts on any such sites, the existence of any such sites and the corresponding need to trigger this policy will be determined once the National REDD+ Strategy is completed.			
Indigenous Peoples (OP/BP 4.10)	X		
It is likely that some of the activities to be implemented as part of the National REDD+ Strategy would take place in areas inhabited by Indigenous Peoples (pygmies). This policy underscores the need for the government of the DRC to identify indigenous peoples, consult with them properly, ensure that they participate in, and benefit from REDD activities. Adverse impacts on indigenous people should also be avoided (or where that is not feasible, minimized or mitigated). Drawing on the SESA, an Indigenous Peoples Planning Framework will be prepared. Additionally, and in relation to possible future support for the establishment of new protected areas, the SESA will incorporate the requirements of the Process Framework already prepared for the ongoing Bank support to the Congolese Nature Conservation Institute (ICCN).			
Involuntary Resettlement (OP/BP 4.12)	X		
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, the Process Framework prepared successfully for the Protected Areas Project in DRC, will be adopted and adjusted to the reality, needs and specificities of the REDD+ activities. .			
Safety of Dams (OP/BP 4.37)		X	
Projects on International Waterways (OP/BP 7.50)		X	
Projects in Disputed Areas (OP/BP 7.60)		X	

III. SAFEGUARD PREPARATION PLAN


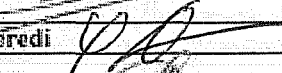

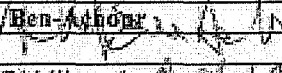

- A. Target date for the Quality Enhancement Review (QER), at which time the PAD-stage ISDS would be prepared: *N/A*
- B. For simple projects that will not require a QER, the target date for preparing the PAD-stage ISDS: *N/A*
- C. Time frame for launching and completing the safeguard-related studies that may be needed. The specific studies and their timing² will be specified in the PAD-stage ISDS:

The main safeguard instrument to be launched is the Strategic Environmental and Social Assessment (SESA). Terms of Reference for the SESA have been agreed on with the Government and members of the civil society (represented by the *Groupe de Travail Climat REDD – GTCR*) on September 16, 2010.

It is expected that the SESA exercise could be launched in May 2011, once the consultancy team has been hired. The first phase of the SESA should run from May 2011 to October 2011, under the close supervision of the National SESA Overseeing Committee, composed of representatives from the government, civil society, and the private sector. The main results of the SESA would be: i) an analysis of the social and environmental risks of the preliminary National REDD+ Strategy; ii) a draft Environmental and Social Management Framework (ESMF).

Once the DRC nears the completion of its REDD Readiness Package, currently planned for December 2012, the ESMF would be updated taking into account the final version of the National REDD+ Strategy.

IV. APPROVALS

<i>Signed and submitted by:</i>		
Task Team Leader:	Name: Simon Rietbergen 	Date 3/11/2011
<i>Approved by:</i>		
Regional Safeguards Coordinator:	Name: Alexandra Bezeredi 	Date 3/11/2011
Comments:		
Environment Safeguards Specialist:	Name: Paul Martin 	Date 3/11/2011
Comments:		
Social Safeguards Specialist:	Name: Mohamed Arbi Ben-Achour 	Date 3-11-2011
Comments:		
Sector Manager:	Name: Idah Pswarayi-Riddlough 	Date
Comments:		

² Reminder: The Bank's Disclosure Policy requires that safeguard-related documents be disclosed before appraisal (i) at the InfoShop and (ii) in-country, at publicly accessible locations and in a form and language that are accessible to potentially affected persons.