

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

**Date ISDS Prepared/Updated:** March 1, 2015

**I. BASIC INFORMATION**

FCPF Readiness activities relate to strategic planning and preparation for Reducing Emissions from Deforestation and Forest Degradation Plus (REDD+). Specifically, countries prepare for REDD+ by:

- i. Assessing the country's situation with respect to deforestation, forest degradation, conservation and sustainable management of forests and relevant governance issues;
- ii. Identifying REDD+ strategy options;
- iii. assessing key social and environmental risks and potential impacts associated with REDD+, and developing a management framework to mitigate these risks and potential impacts;
- iv. Working out a reference level of historic forest cover change and greenhouse gas emissions and uptake from deforestation and/or forest degradation and REDD+ activities, and potentially forward-looking projections of emissions; and
- v. Designing a monitoring system to measure, report and verify the effect of the REDD+ strategy on greenhouse gas emissions and other multiple benefits, and to monitor the drivers of deforestation and forest degradation, as well as other variables relevant to the implementation of REDD+.

The FCPF Readiness Preparation grant activity (referred to as "Project" in the ISDS) will finance some of this preparatory work; it will not finance any implementation of REDD+ activities on the ground (e.g., investments or pilot projects).

**A. Basic Project Data**

<b>Country:</b>	Vanuatu	<b>Project ID:</b> P124806	
<b>Project Name:</b>	Vanuatu - FCPF Readiness Plan Preparation Project		
<b>Task Team Leader:</b>	Stefanie Sieber		
<b>Estimated Appraisal Date:</b>	NA	<b>Estimated Board Date:</b>	NA
<b>Managing Unit:</b>	GENDR	<b>Lending Instrument:</b>	IPF
<b>Sector(s):</b>	Forestry		
<b>Theme(s):</b>	Climate Change		
<b>Is this project processed under OP 8.50 (Emergency Recovery) or OP 8.00 (Rapid Response to Crises and Emergencies)?</b>			No
<b>Project Financing Data (in USD Million)</b>			
<b>Total Project Cost:</b>	3.6	<b>Total Bank Financing:</b>	3.6
<b>Total Cofinancing:</b>		<b>Financing Gap:</b>	n/a
<b>Financing Source</b>	<b>Amount</b>		
BORROWER/RECIPIENT			
IDA Grant			
Forest Carbon Partnership Facility Grant			
			3.6

Total	3.6
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 [from section 2 of R-PP Assessment Note]:**

The development objective of Grant is to assist Vanuatu to carry out the Readiness Preparation Activities by supporting the preparation of its REDD+ strategy through a participatory and inclusive process and by producing technical and policy advice to help strengthen sustainable land and forest management practices.

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

**The R-PP Roadmap<sup>1</sup> includes all activities necessary for Vanuatu to achieve a state of REDD+ Readiness.** The proposed Readiness Preparation Grant will provide US\$ 3.6 million over a period of four years (2015 to 2019) to finance a subset of those activities, with the remainder to be mobilized by the Government from other sources, including Deutsche Gesellschaft für Internationale Zusammenarbeit (GIZ).

**The Readiness Preparation Grant will finance key elements of the R-PP Roadmap that will not only help Vanuatu develop its REDD+ strategy, but strengthen sustainable land and forest management practices through targeted technical and policy advice.** In particular, it will fund three components, which aim to: (i) strengthen existing institutions for REDD+ at the national and decentralized level through the establishment and operation of a Vanuatu National REDD+ Unit and Provincial REDD+ Committees, as well as support to the REDD+ Technical Committee, the National Advisory Board on Climate Change and Disaster Risk Reduction (NAB) and its Project Management Unit (PMU), (ii) strengthen the stakeholder engagement at the decentralized level, including the assessment and strengthening of existing FGRMs for REDD+, and (iii) develop a National REDD+ strategy and Environmental and Social Management Framework (ESMF), which will be validated by a broad spectrum of stakeholders through the Strategic Environmental and Social Assessment (SESA) (Table 1). These activities will also strengthen existing forest policy, practices and management systems, information and data, participatory methods and human and institutional capacity, which will directly support sustainable land and forest management.

**Table 1. Project Components and Costs, 2015-2019**

Support to REDD+ Readiness Funded by FCPF	In US\$ million	R-PP component
<b>1. Institutional Strengthening for REDD+ Management Arrangements at the national and decentralized level</b>	<b>1.30</b>	
1.1. Set-up of Vanuatu National REDD+ Unit and support to REDD+ Technical Committee	0.80	1a
1.2. Support to NAB and its PMU	0.42	1a
1.3. Set-up of Provincial REDD+ Committees	0.08	1a
<b>2. Strengthening of the stakeholder engagement process at the decentralized level</b>	<b>0.98</b>	
2.1. Strengthening of the decentralization structures for stakeholder engagement	0.78	1a-c

<sup>1</sup> Please see Component 5 of the R-PP for a summary of all the activities and budget.

Support to REDD+ Readiness Funded by FCPF	In US\$ million	R-PP component
2.2. Assessment and strengthening of existing FGRMs for REDD+	0.20	1c
<b>3. Development of a REDD+ strategy for Vanuatu</b>	<b>1.32</b>	
3.1. Analytical work to inform REDD+ strategy options	0.27	2a-b
3.2. SESA process and ESMF development	0.25	2d
3.3. Consultation and participation activities	0.80	1b-c, 2d
<b>TOTAL BUDGET</b>	<b>3.60</b>	

Other development partners will be identified to support the remainder of the activities outlined in the R-PP, most notably the measurement, reporting and verification (MRV) systems and Reference Emission Levels (RELS). The achievement of the proposed REDD+ Readiness Activities will not depend on these more technical aspects of REDD+ Readiness, which will, however, need to be accomplished before Vanuatu can engage in a future performance-based system for REDD+. There are several partners currently active in climate change and natural resources management in Vanuatu, which are likely to fund follow-up work. For example, GIZ has funded preparatory work on MRV and REL and is currently testing these approaches on Santo Island, as well as the European Commission and AusAID. Vanuatu has also recently applied to join the UN-REDD program. The main CSO is Live & Learn Vanuatu, an environmental education NGO, which has supported the development of the Consultation and Participation Plan. The participation of international NGOs such as Oxfam, World Vision, Red Cross, and Save the Children is under discussion. Involvement of national NGOs in REDD+ is limited due to the lack of awareness and resources, as well as limited technical capacity.

### **Component 1: Institutional Strengthening for REDD+ Management Arrangements at the national and decentralized level (US\$ 1.30 million)**

This component will support the structures responsible for leading the REDD+ Readiness Preparation process in Vanuatu, including the Vanuatu National REDD+ Unit within Department of Forestry (DoF), the REDD+ Technical Committee, the NAB and its PMU, as well as the Provincial REDD+ Committees. Given the low levels of capacity and limited understanding of REDD+, extensive capacity building, awareness raising and outreach efforts will be necessary. These activities will also help strengthen existing land and forest management practices more broadly, providing important co-benefits. Strengthened decentralized government structures will in turn ensure a better service delivery of extension for forestry and agriculture. This component has three sub-components:

- a) *Sub-component 1.1: Set-up of Vanuatu National REDD+ Unit and support to REDD+ Technical Committee (US\$ 0.80 million).* The REDD+ process in Vanuatu will be led at the national level by the REDD+ Technical Committee, which will establish ad-hoc working groups (AWGs) to provide thematic technical guidance as needed. To further strengthen their capacity, the Readiness Preparation Grant will finance training, workshops, and associated operational costs. The Vanuatu National REDD+ Unit will be established within DoF to manage day-to-day implementation of the REDD+ Readiness Preparation process. It will comprise of the Vanuatu REDD+ coordinator (to be funded by GoV) and a REDD+ Technical Specialist (an international consultant to be funded by the Readiness Preparation Grant), who will support the Vanuatu REDD+ coordinator and help strengthen the DoF's capacity more broadly.<sup>2</sup> The FCPF resources will also support the recruitment of an Outreach and Extension Officer (a local consultant to be funded by the FCPF Grant), who will coordinate the extensive consultations required for REDD+ Readiness and the development of the REDD+ strategy. Key tasks include: (i) ensure effective

<sup>2</sup> It is important to note that the FCPF grant will only fund the salaries of contractual staff for the Readiness Preparation Activities. It will not fund consultants' services and salaries of officials for Vanuatu's civil service.

delivery of the Consultation and Participation Plan, (ii) develop and implement the communication strategy/plan and outreach, which are culturally appropriate to fit the target audience, (iii) ensure the results of the consultations are properly documented and effectively disseminated to the relevant stakeholders using the right channel/medium of communication, and (iv) ensure the procedures for how these consultations influence REDD+ strategy development are followed. An operational budget will also be provided to the Vanuatu National REDD+ Unit to procure office furniture and equipment, and one vehicle.

- b) *Sub-component 1.2: Support to NAB and its PMU (US\$ 0.42 million).* The NAB is the supreme policymaking and advisory body for all climate change and disaster risk reduction (DRR) programs, projects, initiatives and activities in Vanuatu, but has limited capacity and knowledge of REDD+. To support its strategic and advisory role, capacity building will be financed under the Readiness Preparation Grant through trainings and workshops. The PMU of the NAB will be responsible for the fiduciary aspects of the grant consistent with its existing management of all climate change and DRR projects in the country. The Readiness Preparation Grant will support the position of a procurement officer and procurement advisor to ensure the PMU can take on this additional grant. Sufficient financial management capacity already exists, which is supported by two other WBG projects.
- c) *Sub-component 1.3: Set-up of the Provincial REDD+ Committees (US\$ 0.08 million).* It is expected that the REDD+ projects in the provinces will generate knowledge that will enrich the development of the REDD+ strategy and inform the choice of legal and institutional options for the national REDD+ implementation framework. It will thus be critical to assess existing provincial structures, including the Technical Advisory Commissions (TACs), forest and agriculture extension officers, Cultural Center field workers, farmers' associations, island councils of chiefs, women's associations, and churches, to identify those that could form the basis of Provincial REDD+ Committees. The Readiness Preparation Grant will finance this assessment as well as training, workshops, and the operational costs of the Provincial REDD+ Committees.

**Component 2: Strengthening of the stakeholder engagement process at the decentralized level (US\$ 0.98 million)**

This component aims to ensure broad stakeholder engagement and use of stakeholder feedback in shaping the REDD+ Readiness program and the REDD+ strategy. Activities will be guided by the Consultation and Participation Plan prepared in conjunction with the R-PP, and by the Communication, Partnership and Engagement Strategy developed by the Vanuatu Meteorology and Geo-Hazards Department (VMGD). The strengthened decentralized stakeholder engagement process will also support the GoV in improving governance and transparency and ensuring active community level participation in the management of Vanuatu's forests. The same structures will be able to support more active engagement and feedback from related sectors, most notably agriculture and disaster risk management. This component has two sub-components:

- a) *Sub-component 2.1: Strengthening of the decentralization structures for stakeholder engagement (US\$ 0.78 million).* This sub-component will fund strengthening of participatory structures at the provincial and area council levels in order to enhance stakeholder engagement in REDD+. Structures to be supported include provincial governments, TAC, forest and agricultural extension workers, local NGOs/CSOs and community-based forest associations, custom institutions, women's and youth associations, and farmers associations. The DoF has already initiated the establishment of community-based forest associations in some provinces. This component will help strengthen those associations where they exist, and will help in setting up others as required. The resources shall be used to strengthen stakeholder structures specifically in prioritized areas/regions where Vanuatu expects REDD+ to be concentrated. . Given low levels of capacity and limited knowledge of REDD+ at the local level, strengthening decentralized structures will be costly but critical to ensure the communities on the ground are actively involved in and contributing to the REDD+ Readiness process.

- b) *Sub-component 2.2: Assessment and strengthening of existing FGRMs for REDD+ (US\$ 0.20 million)*. This sub-component will fund the assessment of existing FGRMs at the national and decentralized levels, assess the capacity of institutions and customary mechanisms that would handle grievances, and support their strengthening specifically for REDD+.

**Component 3: Development of a REDD+ strategy for Vanuatu (US\$ 1.32 million)**

This component will support the GoV in developing its REDD+ strategy, which will help identify the best balance of land use options to promote sustainable and inclusive economic growth in Vanuatu. This will require developing a deep understanding of the multi-sectorial drivers of deforestation and forest degradation, integrating social and environmental concerns into the REDD+ strategy and building broad-based support across all relevant stakeholders. The policy and technical analysis produced under this component will also help strengthen sustainable land and forest management practices. It will also help inform possible future programs to implement some of the proposed REDD+ strategy options aimed at reducing emissions from deforestation and forest degradation, improving SFM, strengthening agricultural practices and enhancing climate change resilience. This component has three sub-components:

- a) *Sub-component 3.1: Analytical work to inform REDD+ strategy options (US\$ 0.27 million)*. The current state of knowledge indicates that Vanuatu has relatively low rates of forest loss compared to other countries in the region, but that its forests are highly degraded. National forest policy is based on the assumption that the largest pressures on forests stem from small-scale activities by Ni-Vanuatu subsistence farmers. However, there has not been a comprehensive assessment of Vanuatu's deforestation and forest degradation processes. The Readiness Preparation Grant will thus finance several studies to (i) comprehensively assess the multi-sectorial drivers and underlying causes of deforestation and forest degradation in Vanuatu,<sup>3</sup> (ii) analyze the land ownership and title to Emission Reduction (ER), (iii) identify and prioritize REDD+ strategy options, and (iv) review and analyze the existing benefit sharing systems in the country and how they will be affected by REDD+.
- b) *Sub-component 3.2: SESA process and development of the ESMF (US\$ 0.25 million)*. To ensure that negative impacts of future performance-based REDD+ programs are eliminated or minimized, social and environmental concerns will need to be taken into account during the development of the REDD+ strategy. This sub-component will fund the SESA process, which will assess the extent to which the proposed REDD+ strategy options address the environmental and social issues associated with Vanuatu's customary and present patterns of land use and forest management. Any identified gaps will be addressed throughout this process. In addition, the SESA will develop an ESMF that outlines the procedures for managing potential environmental and social impacts resulting from REDD+ implementation including guidance for the preparation of future environmental and social safeguard instruments.
- c) *Sub-component 3.3: Consultation and participation activities (US\$ 0.80 million)*. This sub-component will fund consultation on key activities of the FCPF, including on (i) the multi-sectorial drivers and underlying causes of deforestation and degradation, (ii) the identification of strategy options, (iii) legal harmonization concerning land and title to ER,<sup>4</sup> and (iv) benefit sharing. It will also fund the development of targeted communication materials and tools for all components supported by the Readiness Preparation Grant. Since a large part of the population

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<sup>3</sup> This analysis will include assessing the economic competitiveness of the REDD+ strategy options against other potential uses of land such as leasing of land for cash arising from development pressure.

<sup>4</sup> As has been discussed in paragraph **Error! Reference source not found.**, Vanuatu has chosen an activity-based approach for REDD+. As a consequence, beneficiaries will receive in-kind technical assistance and/or extension services instead of REDD+ revenue. This will help avoid complex legal changes, e.g. land registration. However, the legality of this approach needs to be more fully assessed during the REDD+ Readiness, which this study will help inform.

lives in remote and often inaccessible areas with high levels of illiteracy, considerable awareness raising and outreach efforts will be necessary. Activities will be guided by the Communication Strategy and Consultation and Participation Plan that were developed during preparation of the R-PP. This sub-component will also support further strengthening of the Communication, Partnership and Engagement Strategy developed and implemented by VMGD.

**D. Project location and salient physical characteristics relevant to the safeguard analysis (if known):**

The proposed REDD+ Readiness Activities are relevant to all of Vanuatu, but does not entail any activities on the ground.

**E. Borrower's Institutional Capacity for Safeguard Policies:**

Responsibility for day-to-day implementation and technical leadership of the overall REDD+ Readiness process will lie with the Vanuatu National REDD+ Unit at the DoF, headed by the Vanuatu REDD+ Coordinator. This unit will work in close collaboration with the REDD+ Technical Committee and the AWGs, including the SESA AWG, to be created during the Readiness process. The AWGs will be responsible for helping move some of the analytic work forward. They will work closely with the National REDD+ Coordinator and report directly to the REDD+ Technical Committee, which will oversee the process and ensure that activities are being implemented in accordance with the work plans and schedules. DoF capacity limitations will be addressed by the hiring of a REDD+ Technical Specialist and Outreach and Extension Officer to support the Vanuatu REDD+ Coordinator during the REDD+ Readiness Preparation process. Overall technical oversight to ensure timely progress and completion of activities shall be a responsibility of the REDD+ Technical Committee.

Component 1 will finance the provision of adequate human, technical and operational resources specifically for recruitment of necessary human resources, institutional and capacity strengthening for implementation of the grant. More specifically, capacity strengthening will be targeted at the members of the Vanuatu National REDD+ Unit, the REDD+ Technical Committee, the ad hoc Working Groups (including the SESA Working Group), and six Provincial REDD+ Stakeholder Committees (to be set up), all of which will be responsible for leading and providing technical inputs to the implementation and strategic planning process. The grant will finance training, workshops, and associated operational costs.

A team of international consultants and local specialists will be hired to carry out the SESA. Including local and regional consultants on the team would encourage greater ownership by the Government while helping to fill capacity gaps. The consultant team hired to conduct the SESA will work closely with the SESA Working Group, the National REDD+ Coordinator, and the Extension and Outreach team responsible for implementing the Consultation and Participation Plan as described in the R-PP.

The SESA Work Plan will include an analysis of the institutional arrangements for integrating environmental and social issues into REDD+ Readiness. Whenever possible, the SESA will build upon existing knowledge and coordinate with institutions that carry out similar strategic planning studies or impact assessments.

The capacity for implementing the SESA at the national level will need to be significantly increased to ensure that social and environmental risks are mitigated; therefore, mitigation measures include close supervision of the SESA process by the World Bank Group (WBG) task team; provision of capacity building to the Government team by the consultants leading the SESA process; and inclusion of environmental and social specialists from government and civil society in the SESA Working Group.

The Department of Environmental Protection and Conservation (DEPC) is a crucial stakeholder and participant in REDD+ but may require additional resources to actively and meaningfully engage in the SESA Working Group. The Director of DEPC is on the REDD+ Technical Committee, was involved in the R-PP, understands the purpose and processes of the SESA, and has access to information on other REDD+ programs in the Pacific. The DEPC staff does not have a working knowledge of WB safeguards, but this can be overcome with training which will be provided through the grant.

**F. Environmental and Social Safeguards Specialists on the Team:**

- Haddy Jatou Sey, Senior Social Development Specialist, co-TTL
- Ross Butler, Social Safeguards Specialist / Regional Safeguards Coordinator
- Ann McLean, Social Safeguards Specialist
- Penelope Ferguson, Environmental Safeguards Specialist
- Claire Forbes, Social Safeguards Specialist

**II. SAFEGUARD POLICIES THAT MIGHT APPLY**

The operation is classified as Category B. The FCPF Readiness Preparation grant will support the Government of Vanuatu to make wide-ranging changes to the way forests and forest resources are accessed and managed, and how benefits are shared, and may have both positive and adverse impacts on existing forest uses and livelihoods of people dependent on forest resources.

The FCPF Readiness Preparation grant must comply with WB safeguard policies regarding the management of environmental and social impacts. This grant will, in part, support the country’s activities to identify the potential risks associated with REDD+ and mitigation options. In order to do this, the FCPF is using a SESA to integrate key environmental and social considerations into REDD+ Readiness by combining analytical and participatory approaches. The SESA allows: (i) social and environmental considerations to be integrated into the REDD+ Readiness Preparation 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 the REDD Country’s progress reports on Readiness preparation; (iii) an ESMF to be put in place to manage environmental and social risks and to mitigate potential adverse impacts; and (iv) development of a Resettlement Policy Framework or Process Framework (if required) to identify specific provisions to address potential displacement or restriction to and use of natural resources

It is envisioned that the safeguards policies mentioned below will be triggered in the REDD+ Readiness process.

<b>Safeguard Policies Triggered (please explain why)</b>	<b>Yes</b>	<b>No</b>	<b>TBD</b>
<b>Environmental Assessment (OP/BP 4.01)</b>	<b>X</b>		
<p>The REDD+ Readiness preparation stage 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 etc.), but will directly influence such activities. The policy is triggered for the REDD+ strategy and for the future potential investments. The proposed Readiness Preparation Activities seek to positively impact Vanuatu’s forest management by designing a national strategy for REDD+. However, the analytical and other products of this grant will have some potential environmental risks and impacts in its area of influence. A SESA is to be carried out under the readiness phase and will help ensure compliance with the WB’s safeguards policies. It will serve to identify, avoid, and mitigate the potential negative environmental and social impacts associated with the final REDD+ strategy. It will also serve to identify and promote potentially positive impacts and benefit sharing opportunities in connection with the strategy. The SESA will influence the final national REDD+ strategy, by ensuring</p>			

<b>Safeguard Policies Triggered (please explain why)</b>	<b>Yes</b>	<b>No</b>	<b>TBD</b>
that the consideration of social and environmental risks and potential impacts is a factor in its preparation. It will also provide guidance and key elements for the preparation of the ESMF.  Future investments and carbon finance transactions will require specific environmental assessments and social assessments, which will benefit from the strategy context created by the SESA and ESMF. The ESMF will include standing methods and procedures, along with appropriate institutional arrangements for screening, reviewing, implementing, and monitoring specific risks to prevent adverse impacts, including cumulative impacts.			
<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 natural habitats and potential impacts of the national REDD+ strategy, and findings will feed into the ESMF.			
<b>Forests (OP/BP 4.36)</b>	<b>X</b>		
REDD+ activities in forest lands aim to reduce deforestation, enhance the environmental services contribution of forested areas, promote reforestation, reduce poverty, and encourage economic development, therefore the Forests safeguard policy is triggered. Overall, REDD+ activities are expected to have significant positive impacts on forests, 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 impacts 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 WB's Operational Policy regarding forest management.			
<b>Pest Management (OP 4.09)</b>	<b>X</b>		
This policy is triggered because, depending on the scope of REDD+ strategies, the program might include reforestation activities or the intensification of agricultural activities on degraded lands. SESA will assess the application of this policy and if appropriate, a Pest Management Plan with mitigation (including consideration for Integrated Pest Management) will be developed and included in the ESMF.			
<b>Physical Cultural Resources (OP/BP 4.11)</b>	<b>X</b>		
This policy is triggered as the Readiness Preparation Activities will result in drafting of REDD+ Strategy Options, which could affect areas containing sites with physical cultural resources (e.g. monuments, historical buildings, archaeological or paleontological sites, holy sites, etc.). The SESA (and ESMF) will assess if ground implementation of REDD+ Strategy Options is likely to include these sites and ensure the appropriate measures are adopted in order to protect them.			
<b>Indigenous Peoples (OP/BP 4.10)</b>		<b>X</b>	
Recent analytical work completed by the East Asia Pacific Regional Safeguard Secretariat found that three out of the four defining characteristics of IPs under OP 4.10 are not met in Vanuatu. Accordingly, OP 4.10 is not triggered for projects in Vanuatu.			
<b>Involuntary Resettlement (OP/BP 4.12)</b>	<b>X</b>		
The Readiness Preparation Grant will not finance operational activities, including site-specific carbon-reduction projects. Ni-Vanuatu, especially in remote areas, derive a substantial proportion of their livelihoods from land-based resources. Depending on the strategy options selected under Component 3, downstream REDD+ activities might impact land-dependent groups and trigger voluntary land donation or land acquisition/involuntary resettlement in situations involving restrictions of access to present or future legally designated parks, protected areas, or forest management/reforestation areas. This policy is triggered to ensure landowners, leaseholders and land users and forest-dependent communities and/or individuals are properly consulted and not coerced or forced to accept or commit to REDD+ activities or			



<b>Safeguard Policies Triggered (please explain why)</b>	<b>Yes</b>	<b>No</b>	<b>TBD</b>
other forest management/reforestation activities involuntarily, and that best practice approaches as informed by OP 4.12 are adopted. Through the SESA process, any issues related to land acquisition, voluntary donation or involuntary resettlement will be identified, and management processes will be embedded into the ESMF. The ESMF may include, as required, a Resettlement Policy Framework (RPF) and/or Process Framework (PF), all of which will be part of the SESA, in order to ensure avoidance, minimization, and/or appropriate compensation for adversely affected persons or populations in downstream implementation. Sub-component 2.2 of the Readiness Preparation Grant will fund assessment of existing grievance mechanisms at the national and decentralized levels, assess the capacity of institutions and customary mechanisms that would handle grievances, and support their strengthening specifically for REDD+.			
<b>Safety of Dams (OP/BP 4.37)</b>		<b>X</b>	
The REDD+ activities do not involve the construction of, nor will be affected by, new or existing dams.			
<b>Projects on International Waterways (OP/BP 7.50)</b>		<b>X</b>	
The REDD+ activities do not involve international waterways.			
<b>Projects in Disputed Areas (OP/BP 7.60)</b>		<b>X</b>	
The REDD+ strategies and activities will not be located in any disputed areas.			

### III. SAFEGUARD PREPARATION PLAN

#### A. Target date for review meeting of REDD Country's mid-term progress report, at which time the ISDS may be updated as needed:

December 31, 2016

#### B. Time frame for launching and completing the safeguard-related studies that may be needed. The specific studies and their timing<sup>5</sup> should be specified in the initial ISDS and/or updated ISDS:


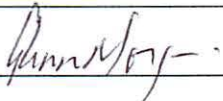

The main safeguard instrument to be applied is the SESA. The SESA includes the preparation of an ESMF. The ESMF may evolve and be updated over time when new REDD+ strategy options and projects or activities (including investments), or policies/regulations are identified during implementation of REDD+. The SESA addresses the key environmental and social issues associated with the analysis and preparation of REDD+ strategy options as well as REDD+ projects, activities (including investments), policies and regulations. In this manner SESA can ensure compliance with WB's environmental and social safeguards.

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 and the potential environmental and social impacts associated with these strategy options. Any identified gaps to manage these risks and potential impacts in relation to relevant WB's safeguard policies should be identified along with the strategy options to feed into the preparation of the ESMF. 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+.

<sup>5</sup> 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.

The ESMF will be structured to contain subject-specific frameworks addressing the relevant requirements of the applicable environmental and social safeguard policies, including, as required, a Resettlement Policy Framework (RPF) and/or Process Framework (PF).

**IV. APPROVALS**

<i>Signed and submitted by:</i>		
<b>Task Team Leader:</b>	Stefanie Sieber 	February 19, 2015
<i>Approved by:</i>		
<b>Regional Safeguards Coordinator:</b>	Peter Leonard 	February 28, 2015
<b>Comments:</b>		
<b>Practice Manager:</b>	Iain Shuker 	February 21, 2015
<b>Comments:</b>		

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