

INTEGRATED SAFEGUARDS DATA SHEET

CONCEPT STAGE

Report No.: ISDSC8634

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I. BASIC INFORMATION

A. Basic Project Data

Country:	Thailand	Project ID:	P130115
Project Name:	Thailand FCPF Readiness Preparation Project (P130115)		
Task Team Leader(s):	Robert Ragland Davis		
Estimated Board Date:	30-Jun-2020		
Managing Unit:	GEN02		
Sector(s):	Forestry (100%)		
Theme(s):	Climate change (100%)		
Financing (In USD Million)			
Total Project Cost:	3.60	Total Bank Financing:	0.00
Financing Gap:	0.00		
Financing Source		Amount	
Borrower		0.00	
Readiness Fund of the Forest Carbon Partnership Facility		3.60	
Total		3.60	
Environmental Category:	B - Partial Assessment		
Is this a Repeater project?	No		

B. Project Objectives

The Project Development Objective is to support the development of the Readiness Preparation Activities . This will be achieved by supporting the preparation of its REDD+ strategy, the design of a national MRV system, and by producing technical work and policy advice.

C. Project Description

SUMMARY

The operation would help the Government of Kingdom of Thailand in developing its REDD+ Strategy so that it is technically sound and environmentally and socially sustainable, as well as in compliance with World Bank safeguards policies. Because the present operation is a planning, analytical and capacity building exercise to support strategy development and no physical investments for REDD+ are included in the design or financed by the grant, it is classified as Category B. At the same time, the Safeguards Policies that may be triggered (or TBD) by future possible REDD+ investments are shown as triggered in the table “Safeguards Policies that May Apply”, so as to provide the necessary background and guidance to the development of an ESMF.

The FCPF Readiness Preparation grant will comply with World Bank 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 will finance implementation of a Strategic Environmental and Social Assessment (SESA) to integrate key environmental and social considerations into REDD+ Readiness by combining analytical and participatory approaches. In addition, through a process of research, study, and discussion, appropriate mechanisms for conflict resolution and grievance redress will be established during the grant's tenure.

FCPF Readiness activities relate to strategic planning and preparation for 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”) 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). Based on the activities outlined in the R-PP, it is expected that upon successfully reaching REDD+ Readiness, the Country would be eligible to participate in REDD+ carbon transactions, including those proposed under the FCPF Carbon Fund.

B. Key Results

- a) a socially and environmentally sustainable, coherent and cost effective national REDD+ strategy
- b) REDD+ framework designed, including an Environmental and Social Management Framework
- c) establishing a credible Reference Emission Level against which to measure future emission reductions
- d) putting in place a comprehensive and credible MRV system for GHG emissions and co-

benefits.

e) National benefit sharing mechanism/ plan

DESCRIPTION

Component 1: Readiness Organization and Consultation (US\$ 0.55 million, FCPF)

The activities under this component include: (i) supporting the establishment and operationalization of the National REDD+ (Bangkok) office and four Regional REDD+ Units, by providing them with the technical and operational resources required for startup and implementation; (ii) developing outreach mechanisms through consultation and a robust communications strategy; (iii) developing and implementing REDD+ outreach programs for CSOs, youth and others and (iv) the formation and operation of technical, stakeholder and cross-sectorial working groups needed to tackle complex issues where either technical depth or broad participation is required from multiple sectors to provide a coordinated approach to REDD+.

1.a National Readiness Management Arrangements (US\$ 0.33 million, FCPF)

Context: DNP has established a REDD+ Task Force at the national level that includes representatives of the relevant sectors in the government, forest dependent communities/ethnic minorities, civil society organizations, private sector, and academia, among others. DNP acts as secretariat for the Task Force. The intention is to establish a national REDD+ Office that will take over the function of secretariat for the TF. The TF will establish six or more Technical Working Groups with members from the different bodies represented in the TF to deliberate on topics such as benefit sharing mechanisms, a regulatory framework and carbon registry, and the REDD+ Office will support these activities and submit the TWG reports and recommendations to the TF for decision. The REDD+ Office will also establish a REDD+ Information Centre to collect and disseminate REDD+ related information to all stakeholders.

FCPF Grant Support

- TWGs on REDD+ (for different themes)
- Technical support
- Participation in international fora and workshops
- Capacity building
- Establish REDD National office for Secretariat (Bangkok)
- Establish REDD Regional Information Centers/Offices

1.b Participation and Consultation Process (US\$ 0.22 million, FCPF)

Context: Key issues unique to REDD+ implementation that must be resolved during the readiness phase through a highly participatory consultation process include institutional arrangements to plan, implement and monitor REDD+ activities and a communication strategy and public consultations; to engage a wide range of stakeholders, especially forest-dependent local communities/ethnic minorities in the entire REDD+ process. During readiness, the institutional / implementation arrangements will be adjusted for the effective and inclusive delivery of readiness.

FCPF Grant Support

- Communication Strategy
- Consultation with Stakeholders on FCPF and proposed REDD+ activities (includes ESMF)
- Support to REDD+ CSO/LC/Youth Network and other working groups
- Public dissemination of the SESA

Component 2: REDD+ Strategy preparation (US\$ 1.55 million, FCPF)

This component will support DNP in developing its REDD+ strategy and include: (i) supporting analytical work to prepare a REDD+ strategy; (ii) conducting consultation and studies on key issues related to REDD+, including drivers and underlying causes of deforestation and degradation, REDD+ strategy options, forest governance and land tenure, and benefit sharing arrangements, among others; and (iii) organizing component activities, compiling material inputs and elaborating the REDD+ strategy document. The inclusive and participatory dialogue supported by this component and new information and data generated will also further strengthen existing forest policy and management systems. A highly experienced lead advisor would be recruited to provide the highest level of guidance to the development of the strategy. From an operational perspective, the three subcomponents under Component 2 will be developed in concert with one another, possibly under a single contract. This will ensure that the elements of social and environmental sustainability are firmly embedded in the technical proposals for proposed REDD+ activities.

2.a Land Use, Drivers of Land Use Change, Forest Law, Policy and Governance (US\$ 0.13 million, FCPF)

Context: The preliminary analysis indicated that the drivers of deforestation and forest degradation are complex but are not so different in the various agro-ecological regions. The studies revealed that deforestation is mainly triggered by development policies of the state such as the policy on forest concessions, mines and dams as well as infrastructure development, which leads to the destruction of forests and biological resources as a result of road construction and settlement in forests. In addition, the policy on promotion of capital-intensive monoculture commercial crops results in deforestation due to agricultural expansion. Forest degradation, where the land remains as forest but the density and quality of the forest is decreased, is caused mainly by illegal logging and harvesting of non-timber forest products for commercial purpose, and uncontrolled forest fires.

Some of the underlying factors of deforestation and forest degradation include unclear designation of legal forest areas and other land use boundaries; increasing population and inequality in income and livelihoods that may impact the forest. It is recognized that information and data for the analysis were not always readily available. Such further information and analysis is crucial for the identification of REDD+ strategic options. Supplemental analysis will be conducted during the Readiness phase to better define and quantify the causes of deforestation and forest degradation in various ecological zones/regions. Governance studies will focus, inter alia, on the regulatory mandate of the many agencies potentially involved in REDD+, identify overlaps and gaps, and draft recommendations for improvements and ways of coordinating. The subcomponent will also include a review of land tenure and ownership rights, conflicts and potential conflicts with import for REDD+ and draft recommendations for remedial efforts.

FCPF Grant Support

- Update and prioritize deforestation and degradation driver analyses
- Carry out a forest governance assessment, including land tenure review

2.b REDD+ Strategy options (US\$ 0.80 million, FCPF)

Context: A number of potential strategic options to address the direct causes of deforestation and forest degradations were identified through analysis of existing policies, legal framework and plans, as well as stakeholder consultations. The proposed strategic options include establishment of clear forest area boundaries and zoning, updating and harmonizing forest and forest-related policies,

improving efficiency of forest law enforcement, building awareness of forest conservation, development of alternative livelihoods, developing forest certification and chain of custody standards, enforcing environmental and social impact assessments of any infrastructure projects, and improving fire detection and control capability. These potential REDD+ Strategies Options will be evaluated further through the REDD+ Readiness phase. Several studies will be undertaken, including: risk analysis (summarizing major types of risk, and their significance for the major REDD+ strategy activities); and feasibility assessment (socioeconomic, political and institutional) of the options. A forest governance assessment framework will be undertaken in the Readiness Phase.

FCPF Grant Support

- Elaboration of draft REDD+ Strategy (including, among others, institutional, legal, policy, risk, feasibility, and economic aspects, includes SESA, interacts with TWGs)
- Workshops on REDD+ strategy and readiness activities
- Studies to analyze and design benefit sharing arrangements
- REDD+ Lead Technical Advisor

2.c Social and Environmental Sustainability/ Grievance Mechanism (US\$ 0.62 million, FCPF)

Context: The readiness grant will support the integration of social and environmental concerns into the REDD+ process and develop an approach for the mitigation of negative impacts through the SESA. Strategic environmental and social issues which must be considered at the REDD+ readiness stage include biodiversity and ecosystem services; micro-climate; air quality (haze and smog); water services and quality; soil condition; food security, location of people and fauna, gender, cultural and social problems resulting from migration and immigration, land ownership, land tenure, land accessibility, energy supply and gender equity and other benefits to improve education and health of the people while pursuing growth with low emissions from land use change. The conduct of the SESA will also include establishment of a SESA working group and capacity building for the SESA and ESMF, as well as for the management of possible grievances. A state-of-the-art monitoring system for safeguards would be designed in conjunction with the information systems in Component 3.

FCPF Grant Support

- National and subnational workshops for SESA, including for validation
- Carryout SESA and elaborate the ESMF
- Review options and establish a grievance framework and resolution mechanism
- Safeguards Monitoring System Design

Component 3: Forest Monitoring and Emissions (US\$ 1.10 million, FCPF)

The activities under this component will put in place a robust monitoring system for REDD+ including the design of the approach and development of the REL/RL. Based on the existing inventory system in DNP, an IPCC compliant MRV system would be developed, as well as a safeguards information system. The inventory and monitoring system established under this component will also provide important information and data that can be directly used in the management and development of the forest sector more broadly. Targeted technical support will be given for developing allometric equations and biomass expansion factors (BEF) for improvements in assessing the carbon content of Thailand's trees and forests, required for determining the impact of REDD+ activities in sequestering carbon and in climate change mitigation. The component would also help to train personnel and other stakeholders in new techniques for inventories, monitoring and

the application of algorithms for determining carbon uptake and release in the sector.

3.a Reference Emissions Level (US\$ 0.69 million, FCPF)

Context: Forest carbon stocks in Thailand were estimated in 1989, 1994 and 2006. The results indicated that annual loss of carbon from natural forests during the period 1994-2006 averaged 33 million tons, which is partly offset by net sequestration in plantations of approximately 17 million tons. Based on an average carbon density in natural forests the loss of carbon from deforestation of approximately 180,000 hectares annually accounts for about 16 million tons, suggesting that forest degradation accounts for the balance of approximately 17 million tons. All these figures need to be verified by more detailed analyses, which will require good coordination between the many departments and actors holding the relevant data, including DNP, DMCR and the RFD.

Early in the REDD+ readiness process, the DNP team will establish a technical working group to focus on RL development. The group will need a variety of technical skills including understanding of historical forest land cover trends and data; ability to relate socio-economic data and trends to environmental outcomes; ability to conduct reasonably sophisticated time-series analyses; and knowledge of the historical drivers of deforestation and forest degradation in Thailand. The technical working group would include staff from different partner organizations and require two full time members, who would focus their work on the REL/RL analysis over a period of about two years. (Technical working groups are financed under Component 1 while the actual REL/RL activities, including estimates, technique development and training would come under Component 3.)

FCPF Grant Support

- Design Reference Emissions Level Approach (IPCC Compliant)
- Develop models for emissions estimations
- Review, compile, analyze information and develop National REL/RL estimate
- Training for development of allometric equations, conversion factors
- Assimilate data for the latest national forest inventory, analyse and disseminate results

3.b Forest Monitoring (US\$ 0.41 million)

Context: The Thailand National Forest Inventory program has a strong sample design, data collection and data entry effort, but should improve the capacity for full and timely data analysis and reporting. There is an opportunity to strengthen the inventory program through the FCPF readiness phase, and to increase the return on investment by strengthening this capability in the DNP Inventory office through training and expert assistance inter alia to develop data compilation software. The current inventory design and data collection is generally consistent with IPCC best practices and guidelines and has the potential to satisfy the requirements for REDD+ reporting. The DNP approach relies on stratified systematic sampling using a 10 km x 10 km grid that will provide excellent information at the national and aggregated subnational levels (i.e. 5 geographic regions within Thailand), and will be useful for many other kinds of analyses (e.g. by major forest type group or ecological zones) for the country. The inventory should serve both REDD+ reporting needs as well as many of the strategic scale information needs for Thailand's forest management and forest protection activities.

In addition to the DNP-led inventory which covers protected and reserved forest, Thailand has a second inventory program focused exclusively on mangrove conducted by the Department of Marine and Coastal Resources (DMCR). There are also four separate remote sensing efforts for forests, including DNPs (two units), the RFD and the DMCR. During the readiness phase, further analyses will examine the benefits of harmonizing and improving the approaches under the different mapping

and inventory programs.
FCPF Grant Support

- Technical Design and Proposal for Enhancing National Forest Inventory and Monitoring System to support REDD+
- Software programming
- Training and capacity building in Measurement, Reporting and Verification

Component 4. Project Management, Monitoring and Evaluation Framework (US\$ 0.40 million)

This component would cover the project management, financial and procurement monitoring, project monitoring and coordination of the operation. The project manager and M&E specialist would be tasked from DNP's staff to work full time on the operation.

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

Thailand is located in the south-eastern part of continental Asia, bordered by Myanmar, Lao PDR, Cambodia and Malaysia and is one of the strongest economies in the sub-region. It has a land area of approximately 51.3 million ha. and the central part of the country contains the major rice growing area formed by the basin of the Chao Phraya River. Climate change must be viewed as a central issue related to Thailand's development. The country is 24th among the world's largest GHG emitters, and is highly vulnerable to climate change impacts. Direct impacts result not only from gradual changes in temperature and sea level, but also from increased climate variability and extremes, including more intense floods, droughts, and storms.

Northwestern Thailand is mainly mountainous with a sub-tropical climate and the northeastern part is mainly comprised of a semi-arid plateau with generally poor soils. The southern part is a long, generally mountainous peninsula that separates the Gulf of Thailand from the Indian Ocean and has a tropical climate. Thailand's landscape and forest resources reflect its topographic, agro-ecological zones and cultural diversity which results in a complex mosaic of agriculture and forests. The predominant forest types are mainly evergreen forest in the south and mixed deciduous forest in the west and northwest, while the northeastern part of the country is predominantly a dry dipterocarp forest. Each of these forest types contains many valuable timber species such as teak and rosewood. Similar to other developing countries in the region, the forest areas in Thailand have been under serious threat.

Up-to-date statistics on deforestation and forest cover are not available and robust methods for determining these parameters will need to be addressed during pre-investment and readiness. However, there are a number of studies that are useful to approximate these variables. For example, historical studies show that forest cover has declined from 53.3 % in 1961 to 33.1% in 2000. Since 2000, the annual deforestation rate was estimated at 100,000 ha or in excess of 0.6% per year, which is considered very high. Thailand had approximately 19.6 million ha of forest land in 2006, based on ground sampling. About 1.45 million ha are in plantations with another 13 million ha in evergreen forest. The balance is made up of various drier forest types, including mixed deciduous, dry dipterocarp and pine as well as mangroves and small areas of swamp forest.

Deforestation is strongly linked to population growth with an increased demand for forest products and land for agricultural expansion as well as development of infrastructure facilities (e.g. roads,

electricity, water reservoirs for hydro-power and irrigation and mining), and despite improvements in forest management. Forest degradation, where the land remains as forest but the density and quality of the forest is decreased, is caused mainly by illegal logging and harvesting of non-timber forest product for commercial purpose, and uncontrolled forest fires. No estimates are available for degradation but it is expected to be several times the rate of deforestation. Today people cook on natural gas rather than firewood and charcoal, and wood substitutes are increasingly replacing wood in house construction as it is more affordable than timber. Forest management has slightly improved due to both the direction of government policy and pressure from society. Government policies have emphasized conservation and sustainable use of forest resources since a national logging ban was imposed in 1989. The government has also recognized and supported people's participation and private investment in forestry activities. Nevertheless, despite these policies the improvement in forest management would not have succeeded without considerable public pressure and support for stronger conservation and protection.

The need for a multi-sectoral approach to REDD+ is recognized by Thailand's Government. The government has put in place an institutional arrangement/management structure that reflects the relevant sectors engaged in land use as well as other stakeholders with an interest and stake in REDD+. The REDD+ institutional/implementation framework is to provide the scheme for the design and implementation of the appropriate institutional, financial, legal and governance arrangements to successfully implement REDD+ in Thailand in accordance with international guidance for future REDD+ efforts. This institutional arrangement consists of a two-tiered institutional mechanism for implementing REDD+. At the national level, a National REDD+ task force was established to facilitate, coordinate and spearhead the REDD+ activities and it will be supported by a REDD+ Office to be established early in the readiness phase. At the sub-national level, REDD+ offices will also be established throughout the regions to coordinate and facilitate REDD+ pilot activities at sub-national level and establish capacity building and stakeholder consultation for local communities. Local NGOs, and local forest-dependent communities that are playing an important role in forest conservation and provision of extension services would be part of REDD+ implementation at local levels.

The principles behind this two tiered approach is for REDD+ to ensure credibility and to provide for transparent, efficient and effective decision making, implementation and monitoring of REDD+ efforts.

Since implementation of REDD+ is a multi-sector and multi-stakeholder endeavor and comprises actions at the national and sub-national levels, Thailand will use the three main instruments for REDD+ implementation: institutions, financial measures and regulatory framework. This will enable Thailand to operationalize and implement its provisional REDD+ strategy options to minimize the conversion of forest land into other uses, hence reducing emissions, and equally to introduce actions that will enhance the sequestration capacity according to the national REDD+ strategies.

E. Borrowers Institutional Capacity for Safeguard Policies

The Department of National Parks, Wildlife and Plant Conservation (DNP) under the Ministry of Natural Resources and Environment (MoNRE) is an implementing agency for REDD+ Readiness Preparation. In 2010, Thailand decided to participate in the REDD+ partnership and followed up with the establishment of REDD+ Taskforce (TF) in 2011 as an inter-ministerial and multi-sectoral committee. The REDD+ TF in Thailand is currently chaired by DG of the DNP and includes representatives from key government agencies contributed to the drivers for deforestation and forest degradation. In the implementation and readiness preparation coordination phase, the Office of REDD+ Task Force Secretariat (TFS) will be established and serve as the national coordination unit

located within DNP to coordinate with implementing agencies within the TF and Technical Working Groups (TWGs). The REDD+ TFS will act as the secretariat of the REDD+ TF to strengthen the coordination between these two instrument bodies. An additional full-time staff will be recruited if required.

The REDD+ Office, a standing office, will be established to serve as the national implementing agency and located at the DNP to coordinate, facilitate and promote all REDD+ activities. The DNP's Director of the Forest and Plant Conservation Research Office will lead the REDD+ Office and draw the membership from DNP, Royal Forestry Department (RFD), Department of Marine and Coastal Resources (DMCR) and Forest Industry Organization (FIO). An additional full-time staff will also be recruited as required.

The national institution capacity for implementing environmental and social safeguards is strong. Thailand has robust environmental and social policies laws and regulations to include policies on gender. The Enhancement and Conservation of National Environmental Quality Act 1975 (Amended in 1992) (NEQA), the nation key environmental law, and its subordinate laws cover most of environmental aspects including environmental impact assessment, environmental quality standards, pollution controls, promotion measures and civil and penal liability, establishment of Environmentally Protected Areas (EPA) and Pollution Control Areas (PCA). With regards to public participation, Thailand's Constitution and the NEQA recognizes environmental rights and duties of Thai citizens to participate in government efforts to protect the environment and promotes public participation.

Furthermore there are existing legal and regulatory frameworks relating to forest and other sectors that provide good bases for the governance in relation to REDD+. This include Wild Animal Reservation and Protection Act 1992, National Park Act 1961, Forest Act 1989, National Forest Reserve Act 1964, Plant Protection Act 1999, Reforestation Act 1992, Communal Land Titling Order 2009, Timber Farming Act 1992 and various Cabinet Resolutions regarding forest and natural resources management. Some of these laws aim to reduce land tenure conflict issue and promote participation of local community in forest/ natural resources management. However, effective coordination between relevant institutions across sectors and institutional capacity to implement decisions will need to be investigated and strengthen during the SESA process. It is worth noting that the Thailand plans to set up the SESA working group under the REDD+ Secretariat. It is expected to work closely with the National REDD+ Technical Working Groups (TWGs) in mainstreaming SESA in all the analytical work, combined with consultations required for the various activities funded under the readiness. The SESA working group would help REDD+ Secretariat to mainstream gender issues in REDD+ readiness.

However, DNP has limited experience with WB safeguards. The capacity of DNP and the proposed REDD+ office will need to be strengthened to carry out the operation according to WB environment and social safeguard Policies. In order to improve institutional capacity, the DNP agreed to assign specific staff responsible for environmental management and social safeguards, and engage experienced environment and social consultants to carry out the Strategic Environmental and Social Assessment (SESA) and the Environmental and Social Management Framework (ESMF). The Bank has experienced social and environmental staff located in Bangkok that will be able to help provide the needed guidance and backstopping to DNP's efforts.

F. Environmental and Social Safeguards Specialists on the Team

Haddy Jatou Sey (GCCFL)

Waraporn Hirunwatsiri (GENDR)

Wasittee Udchachone (GENDR)

II. SAFEGUARD POLICIES THAT MIGHT APPLY

Safeguard Policies	Triggered?	Explanation (Optional)
Environmental Assessment OP/BP 4.01	Yes	<p>An environmental assessment (EA) is required for the operation as the REDD+ strategy will identify measures and propose activities to be implemented downstream in possible subsequent operations in the terrestrial landscape, largely in forest areas. Therefore, the policy is triggered both for REDD+ strategy and proposed policy reforms developed during the readiness phase (the Grant) and for possible future REDD+ investments. The Strategic Environmental and Social Assessment (SESA) and Environmental and Social Management Framework (ESMF) will be used as EA instruments to ensure the REDD+ activities are environmentally sound and sustainable, and thus to improve decision making.</p> <p>The Strategic Environmental and Social Assessment (SESA) being carried out under the present operation is in compliance with OP/BP 4.01 and 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) under the present operation. The ESMF will establish the modalities and procedures to address potential negative environmental and social impacts from the implementation of a national REDD+ framework as well as associated mitigation measures, and also ways to support good practices. Since the present operation is a planning, analytical and capacity building exercise to support REDD+ strategy development and no physical investments for REDD+ are included in the design or financed by the grant, the project is classified as Category B. During the preparation of the R-PP extensive consultations were held throughout the country, with 1,692 participants from 180 stakeholder groups. Under the present operation, (Readiness Phase) Thailand will undergo extensive consultations with relevant stakeholders according to a detailed and robust “Consultation and Participation Plan” included in the SESA annex to</p>

		the Assessment Note. Free, prior and informed consultation will also be carried out in compliance with OP 4.10.
Natural Habitats OP/BP 4.04	Yes	The operation will assist in the development of REDD+ strategies and approaches to promote conservation and the sustainable use of natural habitats, especially forests. The SESA will evaluate the possible risks associated with the strategic options and their potential impact on natural habitats, in both production and protection forests. Other proposed REDD+ activities such as new plantations would also be assessed in respect to possible impacts on non-forest habitats and ecosystems. The ESMF would include provisions to assess, avoid or mitigate potential impacts on natural habitats.
Forests OP/BP 4.36	Yes	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. Overall, the REDD+ activities are expected to have significant positive impacts on forest, in that the main goal of the program is to reduce deforestation, while contributing to the well-being of forest dependent communities who will be consulted during the course of the project. Critical issues related to forest governance and resources and potential impacts from the national REDD+ framework will be assessed through SESA and potential negative impact addressed in the ESMF.
Pest Management OP 4.09	Yes	While the scope of REDD+ strategies will be identified during implementation of the Grant, it is possible that future REDD+ investments may involve the use of pesticides or other pest management, for instance in relation to reforestation activities or the intensification of agricultural activities on degraded lands, and this policy is triggered. The SESA will further assess the application of this policy and appropriate mitigation plans including an Integrated Pest Management Plan (IPMP) will be developed and included in the ESMF.”

Physical Cultural Resources OP/BP 4.11	Yes	Future REDD+ activities will not be known in detail while preparing the ESMF. However, since such activities will operate in forest areas where local communities commonly assign particular cultural values to certain locations and habitats a Physical Cultural Resources Management Framework will be included in the ESMF.
Indigenous Peoples OP/BP 4.10	Yes	The R-PP uses the term “local forest dependent communities” to represent highland ethnic groups, forest dwelling, forest dependent, hill tribes, fisheries communities (the Chao Ley) and local communities. After the readiness phase and outside the present operation, many of the activities which will be proposed to be implemented as part of a national REDD+ program are likely to take place in areas inhabited by “local forest dependent communities”. OP 4.10 is mainly triggered for hill tribes, as well as other ethnic minorities for both the readiness and in possible subsequent phases. However, relevant safeguard measures of OP 4.10 will also address impacts and risks for other “local forest dependent communities”. The Government (DNP) will consult with the local forest dependent communities identified by the ethnic screening to be present in or have collective attachment to project areas, ensure that they participate in, and benefit from REDD+ activities in a culturally appropriate way and that adverse impacts on them are avoided, or where not feasible, minimized or mitigated. As a key process to ensure this policy requirement, Free, Prior and Informed Consultation will be conducted with affected local forest dependent communities, and their broad community support to the project would be ascertained. Issues of ensuring that livelihoods of local forest dependent communities are duly safeguarded through a review of existing policy and regulatory framework, by design of specific interventions in selected areas, and by recognition of both livelihoods and cultural practices, which will be integrated into the strategy. In addition, the Strategic Environmental and Social Assessment (SESA) will identify ways to strengthen traditional / customary land tenure and secure access to natural resources by local forest dependent communities. The SESA will assess potential impacts, both positive and negative, on local forest dependent communities. The Environmental and Social Management Framework

		(ESMF) to be developed based on the SESA will include a “Ethnic Groups Planning Framework (EGPF) that describes the processes and procedures to be followed to ensure free, prior and informed consultation by affected ethnic groups leading to their broad community support of REDD+ activities.
Involuntary Resettlement OP/ BP 4.12	Yes	While no land acquisition will be carried out under the operation nor is it expected as part of future REDD+ activities, it is conceivable that local population’s access to forests, forest products, forest reserves, forest management areas or protected areas could be restricted and, although unlikely, the possibility of land acquisition cannot be completely discounted at this time. Such impacts would be avoided to the extent feasible, or minimized and mitigated if they are unavoidable. The SESA would assess and identify all potential issues related to involuntary resettlement and access restriction, and the ESMF will include a Process Framework (PF) and a Resettlement Policy Framework (RPF).
Safety of Dams OP/BP 4.37	No	The project will not support construction or rehabilitation of dams nor will it support other investments that rely on the services of existing dams.
Projects on International Waterways OP/BP 7.50	No	The project is for terrestrial (mainly forest) ecosystems, and does not involve international waterways.
Projects in Disputed Areas OP/ BP 7.60	No	No project activities are involved in disputed areas.

III. SAFEGUARD PREPARATION PLAN

A. Tentative target date for preparing the PAD Stage ISDS: 28-Sep-2018

B. Time frame for launching and completing the safeguard-related studies that may be needed.
The specific studies and their timing¹ should be specified in the PAD-stage ISDS:

¹ 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 SESA process was initiated during the proposal stage and is already considered to be underway, and will continue through the grant's tenure of about 3 years. 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 the REDD Country's progress reports on Readiness preparation; and (iii) an Environmental and Social Management Framework (ESMF) to be put in place to manage environmental and social risks and to mitigate potential adverse impacts. The SESA guidelines have been integrated into the R-PP template. The safeguards policies noted in the REDD+ Readiness process are triggered since the REDD+ strategy and possible policy reforms have implications for these safeguard policies, and all the safeguard policies listed as triggered (or TBD) may apply to future REDD+ investments. The SESA will assess impacts of both proposed policy reforms and strategy options as well as impacts of future REDD+ investments, while the ESMF will include provisions and requirements concerning all the safeguard policies triggered.

The proposed timeline for SESA implementation is outlined in the SESA Terms of Reference in the Staff Assessment Note. Final delivery of the SESA and ESMF is expected by the end of the grant's tenure. As noted above the main safeguard instrument to be developed during grant implementation 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 World Bank'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 World Bank'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+.

The ESMF will be structured to contain subject-specific frameworks addressing the relevant requirements of the applicable environmental and social safeguard policies including, but not necessarily limited to stand alone documentation including a Resettlement Policy Framework (RPF); Process Framework (PF); and an Ethnic Groups Planning Framework (EGPF).

IV. APPROVALS

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<i>Approved By:</i>		
Safeguards Advisor:	Name: Peter Leonard (SA)	Date: 03-Sep-2015
Practice Manager/ Manager:	Name: Christophe Crepin (PMGR)	Date: 03-Sep-2015