



Integrated Safeguards Data Sheet Identification / Concept Stage (ISDS)

Concept Stage | Date ISDS Prepared/Updated: 09-Oct-2017 | Report No: ISDSC21838



BASIC INFORMATION

A. Basic Project Data

Project ID	Project Name	Environmental Category	Country
P163835	CAFI AF Forest Dependent Community Support Project	B - Partial Assessment	Congo, Democratic Republic of
Team Leader(s)	Estimated Date of Approval	Managing Unit	Financing Instrument
Loic Jean Charles Braune	22-Dec-2017	GEN07	Investment Project Financing

PROJECT FINANCING DATA

FINANCING

FINANCING SOURCES

Select all that apply

Counterpart Funding Trust Funds Parallel Financing

SUMMARY (USD)

Total Project cost	1,800,000
Total Financing	1,800,000
Trust Funds	1,800,000
Financing Gap	0

DETAILS

Trust Funds

Source	Currency	Amount	USD Equivalent
3A Africa REDD+ Program(REDD)	USD-US Dollars	1,800,000	1,800,000

B. Project Development Objective(s)

The development objective (PDO) of the parent project is unchanged: to strengthen the capacity of targeted

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Indigenous Peoples and Local Communities (IPLCs) in selected territories and at the national level to participate in REDD oriented land and forest management activities.

C. Project Description

Scope of the Additional Financing

The proposed Additional Financing of US\$ 1.8 million will provide additional resources to support the same objectives and activities as the parent project over expanded project territories (from 16 to 19 territories): strengthen the participation of Indigenous Peoples and Local Communities (IPLC) in forest and land management activities, support sustainable community forest and land management, build their capacities to implement development activities and capture their feedback. The proposed AF will aim to achieve this by: (i) increasing the budget for select activities financed by the Forest Dependent Community Support Project through the Dedicated Grant Mechanism (DGM) in order to boost the development impact, as well as the resources made available for the various management models tested; (ii) expanding the scope of the FDCSP to adjacent and priority areas in order to increase the potential for pilot management initiatives for Indigenous Peoples; (iii) including three additional territories (Bikoro, Kalehe, and Walikale) in the FDCSP's governance mechanism, with local representation on the Steering Committee; (iv) financing ten additional micro-projects; and (v) contributing to the establishment of two additional areas with community governance and coordination with integrated programs so as to promote management by indigenous communities. The proposed operation would support the following activities, consistent with the parent project scope and description:

Component 1. Reinforce the participation of IPLC in forest and land management processes related to REDD+ (US\$ 0.3 million). This component would provide tailored support to organizations representing the IPLCs on technical matters, in areas such as land tenure and forest management, in addition to strengthening administrative and financial management. Following the same structure as the parent project, the AF would encompass two sub-components: one at the national level, and one for local support.

Sub-component 1a. Building capacities at the national level for strengthening IPLC voices on land and forest policies (US\$ 0.12 million). This activity would include: (i) strengthening the expertise of IPLCs on matters relating to forestry, and in particular the deployment of Local Community Forestry Concessions (CFCL); (ii) fostering the participation of legitimate IPLC representatives in the process to reform land tenure policies; and (iii) providing assistance for the formalization of the recognition of the customary rights of IPLCs over specific forested areas. This will aim to be achieved either by drawing on an existing legal framework or by supporting the development of innovative initiatives concerning community-based management of natural resources in the country, building on the experience in other countries where such initiatives have already been tested. Where possible, collaboration with the Civil Society Support Program and the various PIREDD will be sought.

Sub-component 1b. Strengthening the capacities of the IPLCs to participate in forest and land management activities (US\$ 0.18 million). Building on the project's progress to date, the AF would deploy activities designed to increase the representation of IPLCs at the local land level, strengthen the capacities of their organizations (e.g. in particular, their expertise in matters concerning forestry and tenure system management), and to strengthen their capacity to influence discussion at the provincial level.

Component 2. Support community-based sustainable forest and land management (US\$ 0.96 million). This component would promote the empowerment of IPLCs by supporting official recognition of their customary usage rights, and financing micro-projects aimed at sustainable natural resource management (including alternative activities



designed to reduce pressure and change practices) to improve livelihoods in rural areas.

Sub-component 2a. Promoting sustainable forest and land management through alternative livelihood activities and promotion of the IPLC culture (US\$ 0.7 million). This sub-component would provide micro-grants for communities to engage in alternative activities that will: (i) generate additional incomes; (ii) improve community livelihoods; (iii) provide educational value through improved capacity for identification, facilitation, dialogue, dedicated monitoring and evaluation, and capitalization. While the micro-projects will be carried out mainly in the project areas and the 19 focus territories, the overall component would benefit from a national approach. In areas outside of the 19 territories, priority areas may be targeted depending on available funding. Co-funding would be sought to cover high-stake areas with substantial representation of Pygmy and indigenous communities.

Sub-component 2b. Empowering the IPLC for the formal recognition of their user rights (US\$ 0.26 million). This activity would support experiments in community-based forest management. The end-goal consists in securing usage rights over specific plots through the recognition of an official status that will give the established communities the power to fully benefit from their local resources. Once the areas concerned will have been approved, the project will support work on their legal status as well as on the governance system for administering their usage rights. In these areas, micro-projects (financed under Component 2a) will enable the implementation of policies for preservation, protection, reasonable logging, and, in some cases, changes to practices in favor of extensive livestock farming or production instead of pure gathering.

Component 3. Increase the capacity to implement development activities for IPLC and consolidate feedback (US\$ 0.54 million). The objective of this component would be to ensure the smooth implementation of the Project in accordance with the Bank's procedures but with sufficient flexibility to be able to adapt to the communities' capacities.

Sub-component 3a. Project coordination (US\$ 0.31 million). This sub-component would finance the costs of the National Executing Agency (NEA), which is responsible for the implementation of the Project. The NEA will also be responsible for fiduciary management, notably procurement (e.g. screening, contractual terms, and management of contracts) and financial management (e.g. disbursements for micro-projects, cash management, accounting, and documentation). It will define the criteria for examining and evaluating risks, ensure the proper use of FDGS project funds, and keep project and micro-project documentation up-to-date, followed by periodic reporting to the Bank on the use of funds. It will also be responsible for the management and monitoring of safeguards. The NEA has been selected under a competitive process in accordance with DGM guidelines.

Sub-component 3b. Strengthening feedback channels at the local and national levels (US\$ 0.23 million). The objective of this sub-component is to promote the establishment of an inclusive national network of IPLC representatives that will maintain direct relations with leaders and organizations on the ground. It is envisaged that through a learning-by-doing approach, capacities as well as recognition of the impact of the network will be strengthened by monitoring the implementation of micro-projects on the ground, measuring communities' satisfaction, and reporting to the National Steering Committee (NSC). Monitoring and measurement of the satisfaction rate by the network of IPLC representatives is intended to ensure that communities benefit from the project and that the IPLCs deal adequately with any grievances.

Given that the proposed activities represent a natural continuation and expansion to the parent project's activities, an additional financing is being proposed while maintaining the same Implementing Agency. This has been deemed the most suitable option to maximize development outcomes. This instrument will also enable a faster and more cost-



effective response to the client’s request to strengthen and scale-up the parent project.

SAFEGUARDS

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

From an environmental and social perspective, the Parent Project is rated Category B (partial assessment). This would be maintained, as no significant negative environmental and social impacts are expected. The scaled up Component 2 will have a direct impact on the ground, given its community-driven approach, however, it will be limited, reversible, and small-scale. The additional finance will continue to promote sound natural resources and sustainable management in an additional three territories (Walikale, Kalehe, and Bikoro) in addition to the 16 already targeted territories.

E. Borrower’s Institutional Capacity for Safeguard Policies

The additional financing will use the similar arrangements as the parent project. Under the parent project, a Safeguard Specialist and 4 local focal points are currently being hired by the implementation agency (CARITAS). The environmental risks should be very limited, as the primary goal of the sub-grants and local investment is the sound environmental management of the forest and the reduction of deforestation. However, as part of component 2b, the project and the additional financing plan to set up and secure land concessions to be managed by the local communities – including Indigenous Peoples. Thus, restrictions of access are expected. The main tool to be used will probably be the concessions for community forest, which are a new legal instrument whose application decrees have been adopted recently (2015) after several years of discussion between the civil society organizations, the international NGOs and the government, and there is still on-going work on the operational documents. Therefore, the methodology to consult for the restriction of access may be updated during the project, and the implementation team, as well as the safeguard team, will carefully ensure that the local consultations are always implemented according to the latest guidelines.

F. Environmental and Social Safeguards Specialists on the Team

Douglas J. Graham, Environmental Safeguards Specialist
Lucienne M. M'Baipor, Social Safeguards Specialist
, Social Safeguards Specialist

G. Policies that might apply

Safeguard Policies Triggered by the Project	Triggered?	Explanation (Optional)
Environmental Assessment OP/BP 4.01	Yes	Project’s activities to be financed under component 2 to enhance communities’ livelihood may have negative impact on the

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		environment. The project will update the parent project Environmental and Social Management Framework (ESMF), considering three new territories (Walikale, Kalehe, and Bikoro), consulted upon. The ESMF must be disclosed in the country as well as in the Bank external website.
Natural Habitats OP/BP 4.04	Yes	To avoid or mitigate negative impacts on natural habitats because of project's support to communities, the ESMF will provide guidelines on how natural habitats will be protected during project implementation.
Forests OP/BP 4.36	Yes	To avoid and minimize communities' footprint in the forest, Forest policy and management are a primary focus of this project. The ESMF will include guidance on managing forestry issues.
Pest Management OP 4.09	No	
Physical Cultural Resources OP/BP 4.11	Yes	In anticipation of any harm to physical and cultural resources representing a cultural value for Indigenous Peoples or other forest communities in the project area, the ESMF will provide guideline on how they will be protected and preserved.
Indigenous Peoples OP/BP 4.10	Yes	The policy is triggered, however, seeing as the project is specifically targets IPs as the main beneficiaries, the project will not require an IPP. The design of the project itself is conceived in consultation with IPs, and applies culturally appropriate benefits based on the needs expressed by the indigenous groups.
Involuntary Resettlement OP/BP 4.12	Yes	The project may potentially restrict or limit community members' access to natural resources as the project activities include securing of land for concessions (component 2B) in the three new territories of Walikale, Kalehe, and Bikoro. Therefore, to manage impacts that could result from the restriction, the project will update the process framework (PF) prepared under the parent project, and will be based on wide and culturally appropriate consultations with IPs living in



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		<p>the three new territories. The main objective of the PF is to set forth procedures and functional approaches that are acceptable to the communities in view of the restriction of access to forests/protected areas and that provide alternatives to their livelihoods.</p> <p>The project will recruit a social safeguards specialist to provide support to the firms contracted to work with IP communities on the project design (write up) and the implementation (in collaboration with communities) of some activities.</p> <p>Should any of the activities proposed in component 2A (micro-projects) trigger physical resettlement, the project will prepare a resettlement policy framework (RPF) that will guide any resettlement action plan for micro projects as they are identified.</p>
Safety of Dams OP/BP 4.37	No	
Projects on International Waterways OP/BP 7.50	No	
Projects in Disputed Areas OP/BP 7.60	No	

H. Safeguard Preparation Plan

Appraisal stage ISDS required? Yes

a) Tentative target date for disclosing the appraisal stage ISDS

15-Dec-2017

b) Time frame for launching and completing the safeguard-related studies that may be needed.

As the project will expand in three new Territories (Kahele, Walikale and Bikoro), the team plans to: - revise the project safeguard documents (Environmental and Social Management Framework and Process Framework) to include the new geographic scope of the project; - organize consultations in the three Territories to (i) present the project, (ii) select the representatives for the Steering Committee, following the same methodology as the one for the first 16 territories and (iii) present the revised safeguard documents - in particular the role of REPALEF for grievance management and the representation process.

APPROVALS

Team Leader(s):	Loic Jean Charles Braune
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Approved By

Safeguards Advisor:		
Practice Manager/Manager:		

¹ Reminder: The Bank's Disclosure Policy requires that safeguard-related documents be disclosed before appraisal (i) by the Bank and (ii) in country by the Borrower/Recipient, at publicly accessible locations and in a form and language that are accessible to potentially affected persons.

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