

INTEGRATED SAFEGUARDS DATA SHEET

APPRAISAL STAGE

Report No.: ISDSA12423

Date ISDS Prepared/Updated: 01-Aug-2015

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I. BASIC INFORMATION

1. Basic Project Data

Country:	Congo, Democratic Republic of	Project ID:	P149049
Project Name:	Forest Dependent Communities Support Project (P149049)		
Task Team Leader(s):	Loic Jean Charles Braune		
Estimated Appraisal Date:	08-Jun-2015	Estimated Board Date:	29-Mar-2016
Managing Unit:	GEN01	Lending Instrument:	Investment Project Financing
Sector(s):	Forestry (50%), General agriculture, fishing and forestry sector (25%), Public administration- Agriculture, fishing and forestry (25 %)		
Theme(s):	Participation and civic engagement (20%), Land administration and management (20%), Other environment and natural resources management (20%), Decentralization (20%), Indigenous peoples (20%)		
Is this project processed under OP 8.50 (Emergency Recovery) or OP 8.00 (Rapid Response to Crises and Emergencies)?			No
Financing (In USD Million)			
Total Project Cost:	6.00	Total Bank Financing:	0.00
Financing Gap:	0.00		
Financing Source			Amount
Borrower			0.00
Strategic Climate Fund Grant			6.00
Total			6.00
Environmental Category:	B - Partial Assessment		
Is this a Repeater project?	No		

2. Project Development Objective(s)

The objective of the project is to strengthen the capacity of targeted Indigenous Peoples and Local Communities (IPLC) in selected territories and at national level to participate in REDD+ oriented

land and forest management activities.

3. Project Description

The proposed project will implement activities that are a reflection in DRC of the Thematic Areas and Potential Activities for Sub-Component 1 and 2 from the DGM Framework Operational Guidelines . They will be geared towards strengthening community capacity to: engage on policy; participate in land-use planning, production practices and organization; and develop as entrepreneurs and businesses. FDCS Project will also finance demand-driven local investments by community organizations. This approach complements Government's efforts to engage non-state actors, in particular local communities, in sustainable natural resource management.

The FDCS Project will be governed by the following principles: (a) ownership and joint decision-making by IPs and LCs; (b) transparency and accountability in the selection of implementing partners, members of governing bodies and beneficiaries; (c) flexibility, efficiency and administrative simplicity to enable easy and streamlined access to grants by IPs and LCs; and (d) social inclusion and equity by reaching out and ensuring the participation and the protection of women, children, elders, and other vulnerable elements of society. Particular attention will be given to activities addressing gender-specific livelihood, health, and cultural issues, and activities promoting the engagement of youth. This may include communication efforts targeted at women and youth, designing grant windows focused on women and youth-friendly activities, among others.

Component 1 – Reinforce the role of IPs and LCs in the REDD+ process (US\$1,2 million). This component will provide tailored support, including administrative and financial management issues, and improve dissemination of information about REDD+ and its impact on IPs and LCs. There are two subcomponents: one for the national activities (1.a) and the other dedicated to local support (1.b).

Sub-component 1a - enabling activities at national level (US\$0.3 million). Sub component 1.a is designed to supplement national advocacy and lobbying efforts towards stronger recognition and promotion of indigenous peoples' rights. For that purpose, this sub-component will primarily focus on 2 outcomes: (i) it will aim at improving how IPs and traditional communities are taken into account in the legal framework, in particular for the land tenure reform and for continuous operationalization of the forest law and (ii). Finally, it will foster recognition and legal protection for specific forested areas in accordance with participatory community-based natural resources management principles (such as the Indigenous Community Conserved Areas and Territories – ICCA or community-managed Protected Areas).

Regarding the support of IPLC advocacy work in the land tenure reform, the project will both facilitate the inclusion of IPLC leaders and representatives in the working groups and allow IPLC to take the initiative of promoting their ideas through workshops, meetings and events.

Regarding the forest law and its application decrees, the project will help the IPLC securing their rights and lifting any ambiguity.

Regarding the legal recognition of rights, the Project will support the technical work that will lead to the formal procedures that will be applied in the component 2b (creation of community managed areas like ICCA or community-managed Protected Areas).

All those topics are closely related to the recognition (and the transmission) of IPLC culture – which is deeply linked with specific sites but also to the use of the natural resources. Therefore, the project will explore different options to support initiatives that promote IPLC culture.

Expected deliverables: This sub-component will (i) help produce a step-by-step manual to create community-managed areas in order to help secure IPLC land (in connection with component 2b) and (ii) support IPLC advocacy regarding REDD+ (including FIP) and the land tenure reform. This advocacy work may be implemented using (i) large audience trainings, workshops and seminars for communities, IP networks and public administration representatives, (ii) national-level events to sensitize decision-makers to better capture the specificities of those traditional populations in the national programs and policies, (iii) on-site visits and study tours, (iv) operational expenses (paper, phone credit provided by the NEA), (v) large scale information sharing through the dissemination of international and national laws and the creation of resource centers (vi) support to cultural activities to support knowledge transfer among the generations and promote the forest-dweller culture.

The above activities will be implemented through small contracts with experts or specialized firms based on an annual work plan approved by the NSC. Operational expenses would be provided by the NEA in kind or as reimbursement of expenditures.

Subcomponent 1.b - enabling activities for the local communities (US\$0.9 million). This sub-component will deploy enabling activities to reinforce the IPLC representation at local level (Territory) and increase the capacity of the IPLC organizations, especially regarding their knowledge about forests and land tenure. The sub-component will also indirectly facilitate the implementation of micro-projects (component 2) as it will reinforce the capacity of the local IPLC organizations, from which the micro-projects will originate.

Expected deliverables: The sub-component will essentially support the creation (and/or the strengthening) of local viable organizations to bundle IPLC interests and therefore increase participation in local land governance. It is expected that, by the end of the project, the IPLC communities would participate (through legitimate and representative networks or independent organizations) in the local forest governance and institutions (e.g. CARG) in most of the 16 territories (see Annex 1).

This sub-component may finance activities that will directly support local population groups and villages: (i) basic education and literacy courses for communities; (ii) onsite visits, field visits to other pilot villages, (iii) training modules for newly created NGOs, (iv) sensitization meetings and forums with local administration (synergies could be developed with forest provincial consultation councils), and dissemination of the Forest Code and other regulatory laws (through culturally-adapted means).

The NEA will in priority contract with local NGOs (or local members of the national network) for the various capacity building activities (book keeping, literacy, training to manage an association). While this solution would increase the number of transactions (high number of contracts), it is expected it will limit the travel cost (and other inefficiencies such as languages and cultural issues) and allows a better alignment with the needs of the beneficiaries.

Component 2 – Support the development of economic and sustainable natural resource management activities (US\$2.9 million). This component will provide small grants to communities with the aim to help secure land resources for the IPLC and promote economic activities and rural livelihoods that enhance climate change adaptation and the sustainable management of forest landscapes. . Sub-component 2.a will provide micro-grants to diversify socio-economic activities and sub-component 2.b will support pilot community-managed forests.

Sub-component 2a - promoting alternative livelihood and revenue-generating activities (US\$2.4 million). This subcomponent will provide grants to communities to engage in alternative livelihoods or in making their current livelihood more sustainable. At the project level, the objective is to demonstrate the capacity of the local communities to implement such projects and thus to benefit from the REDD+ and FIP projects. In the longer term, those grants are expected to generate supplementary income and eventually improve the livelihoods of communities.

Expected deliverables: The sub-component is expected to finance at least 75 micro-projects. The procedure to identify and select the micro-projects is presented in Annex 3 and will be detailed in the Project Implementation Manual (PIM).

Activities to be financed could include: (i) community-led sustainable management, natural regeneration and restoration of forest landscapes (ii) traditional farming and cultivation practices that enhance local agro-biodiversity, including medicinal and aromatic; (iii) agro-forestry production systems, agro-ecology tillage practices, reforestation and plantations; (iv) collection and processing of non-timber products (medicinal plants, essential oils, etc.); (v) indigenous/traditional landscape management practices including water and soil conservation, (vi) energy-saving practices including wood energy plantations, sustainable charcoal/briquette production, biogas/other renewable energy supply projects, in all cases adapted to the local level and operating at a community and family level, (vii) women's economic empowerment activities.

The communities will submit micro-projects in partnership with a local development NGO (or another type of legal entity) that will have the ability to sign contracts and channel, manage and report on the funds that will be sent to them after the micro-project is approved by the steering committee.

In some territories (mostly in Bandundu), earlier projects (such as the Forest and Nature Conservation Project, PFCN) have supported Investment Plans for the development of the IP communities. Whenever such plans already exist, those ideas will be given priority after endorsement from the community representatives. Otherwise, the PIM will propose a non-comprehensive list of activities (focusing on directly or indirectly reducing deforestation (including cultural activities aiming at increasing the recognition and transmission of the IP culture), or strengthening the communities to support IPLC participation in local governance (including civil status or the delimitation/recognition of administrative clusters ("groupements")). The PIM will also include a list of criteria and/or activities which will not be financed under the micro-projects (red list).

Subcomponent 2.b – securing IPLC land use rights (US\$0.5 million). The objective is to protect the forest by securing the land use rights of the major users – especially the IPLC – and to establish forest management systems that facilitate land disputes mediation and resolution. The final objective is to secure the rights on some portions of through the recognition of an official status which will give forest-dwelling communities an opportunity to fully benefit from their local resources.

Expected deliverables: the component is expected to support the official recognition of land use rights in at least five areas. The identification of the exact sites has started.. However, a short list should still be defined with the support of the communities within 3 months after effectiveness. While the official process may be longer than the project lifetime, the project will initiate the procedure and assess the learning from the process at the end of the project. Since such an effort has never been tried before, both success and failure would bring information and help design a better, easier procedure for securing land rights.

This sub-component will be implemented using the step-by-step methodology defined in component 1a. It will include an initial information campaign, operational cost for the communities to implement the field work as needed and held the consultations, and capacity building activities linked with the establishment of a management committee for each site.

Component 3 - Coordination, communication, monitoring and evaluation (US\$1.9 million). This component aims at ensuring the smooth implementation of the project in compliance with World Bank procedures but with enough flexibility to match the capacity of the communities.

Sub-component 3a – Project coordination (US\$1 million). This sub-component will finance the costs of the National Executing Agency (NEA).

The NEA will be in charge of project implementation and fiduciary management, with a special focus on procurement (selection, contracting, and contract management) and financial management (micro-projects disbursement, cash management, accounting and documentation). It will develop review- and risk-assessment criteria, ensure the appropriate use of FDCSP funds, maintain project and micro-projects documentation, and report to the World Bank on the use of FDCSP funds. It will also be responsible for safeguards monitoring and management. The roles of the NEA is further detailed in the Implementation Agency Assessment section of this PAD and the ToRs are in Annex 8.

Expected deliverables: the project is implemented in compliance with World Bank procedures – financial management, procurement and safeguards).

The NEA will be selected through a competitive process in compliance with the FIP and DGM guidelines. The NEA will sign the grant agreement on behalf of the participating communities.

Sub component 3.b – Monitoring, evaluation and feedback management (US\$0.9million). This sub-component will include the monitoring of the micro-project implementation in the field, the measure of community satisfaction and reporting to the NSC. It is meant to ensure that communities are indeed benefiting from the project and that possible complaints are adequately addressed. This will be managed by the establishment and support of the NSC and by giving a mandate to the national network REPALEF and its provincial focal points to keep close contact with the communities and monitor progress of the projects on the ground by paying regular visits to the selected sites.

Expected deliverables: it is expected that a Feedback, Grievance and Redress Mechanism (FGRM) will be established and maintained by REPALEF. This FGRM could become the reference tool for consulting and getting comments from the IPLC communities on REDD+ in general – thus, it will not be attached to the project but is expected to become a sustainable system on its own.

The component will cover (i) general and operating expenses for the NSC, (ii) the recruitment of an independent auditor in charge of evaluating the social aspects of the project at Mid-Term Review and at closing and (iii) the recruitment of REPALEF to set up and implement the feedback, grievance and redress mechanism. In addition, this sub-component will finance the general communication of the project (using appropriate methods and channels).

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

The project area (within 16 Territories) for the investments has been selected following the analysis from the FIP Investment Plan, which identified three supply basins: (i) Kinshasa (WB project); (ii)

Kananga/Mbuji-Mayi and (iii) Kisangani (AfDB projects). While the FIP activities will only focus on portions of each of 3 basins, the area selected for the investments in this project will include surrounding sectors and territories in order to fit with the indigenous people (IP) and local communities (LC) living territories.

At local level, locations of activities to be funded by the project will be decided by the communities through a participatory inclusive processes, and are therefore yet to be identified. Consequently, the precise locations or the potential physical impacts of project activities will first be known at the time of sub-project identification and preparation at local level.

5. Environmental and Social Safeguards Specialists

Abdoulaye Gadiere (GENDR)

Antoine V. Lema (GSURR)

6. Safeguard Policies	Triggered?	Explanation (Optional)
Environmental Assessment OP/BP 4.01	Yes	The project under component 2 expects to support forest management activities in selected sites. These activities may have environmental impacts on a limited scale. An ESMF has been prepared based on the FIP ESMF and the national ESMF for REDD+ activities, consulted upon, and disclosed before appraisal.
Natural Habitats OP/BP 4.04	Yes	The ESMF provides guidance on the kind of Habitat in the project area and on the actions for avoiding or mitigating impacts on natural habitats.
Forests OP/BP 4.36	Yes	Forest policy and management are a primary focus of this project. The ESMF includes guidance on managing forestry issues
Pest Management OP 4.09	No	
Physical Cultural Resources OP/BP 4.11	Yes	This policy could be triggered if the project activities promote actions in areas containing sites deemed physical cultural resources by the local communities (e.g. holy/secret sites such as sacred groves, sacred forests, etc.). Though it is not anticipated that the project will have negative impacts on any such sites, the existence of any such sites and the corresponding need to trigger this policy will be determined once the targeted zones are confirmed. The ESMF includes guidance.

Indigenous Peoples OP/ BP 4.10	Yes	The project main purpose is to support Indigenous People and their communities. As Indigenous Peoples will be the overwhelming majority of direct project beneficiaries, as project preparation will be carried out in a broadly participatory way including an intensive process of consultation with Indigenous Peoples, and as ruled by this Safeguard Policy (OP 4.10, paragraph 12), no separate Indigenous People Policy Framework (IPPF) or Indigenous Peoples Plan (IPP) is required. A Social Assessment has been performed during preparation.
Involuntary Resettlement OP/BP 4.12	Yes	No involuntary resettlement is anticipated; however, as for any REDD+ activity, securing land for indigenous people may induce land acquisition and limitation of access may happen at village level. Also, the project may require land use securing and enforcement of land use regulations - to the benefit of indigenous people. OP 4.12 has been triggered as a precautionary measure to manage impacts that may result from restrictions of access and securing land for indigenous people, A Process Framework has been prepared for the DGM
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	

II. Key Safeguard Policy Issues and Their Management

A. Summary of Key Safeguard Issues

<p>1. Describe any safeguard issues and impacts associated with the proposed project. Identify and describe any potential large scale, significant and/or irreversible impacts:</p> <p>The project impacts, though not fully identifiable until the sub-projects and activities are singled-out, will be localized in activities and projects sites. No potential large scale, significant or irreversible impacts are foreseen. The following operational Policies and related instruments will be triggered in each of the Components to address potential adverse social and environmental impacts:</p> <p>Components 2a: Community based natural resource management activities, agroforestry and land planning activities may have an impact on Environment (even if the purpose is to improve the ecosystem quality). An Environmental and Social Management Framework provides guidance on the evaluation of the local environmental and social impacts once the projects are submitted to the National Steering Committee.</p> <p>Component 2b: the intention to create either Protected Areas (such as hunting domains) or community forestry may limit access to natural resources. While any activity causing resettlement will be banned from the project, a Process Framework details the procedure to deal with any restriction of access.</p> <p>2. Describe any potential indirect and/or long term impacts due to anticipated future activities</p>
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in the project area:	
There are no anticipated or foreseen long-term negative impacts. Reducing short and long term impacts is one of the operational objectives of the Project. Furthermore, impacts should be consistently positive, as the overall aim of the Project is to enhance sustainable management of natural resources while improving the livelihoods of rural communities. The Project will support community based activities while also addressing promotion of relevant private sectors (agroforestry, agriculture, fisheries, charcoal, cooking stoves, among others), plus land securing.	
3. Describe any project alternatives (if relevant) considered to help avoid or minimize adverse impacts.	
The project is already minimizing the potential adverse impacts. Only areas without potential land use conflicts will be chose to pilot the land use securing as it intends to have a demonstrative role. Only activities that have strong community support and that aim at having a positive impact on environment will be financed as DGM micro-project.	
4. Describe measures taken by the borrower to address safeguard policy issues. Provide an assessment of borrower capacity to plan and implement the measures described.	
The borrower is the National Executing Agency (NEA), which is a pure fiduciary agent. The NEA will be responsible for arranging (through the hiring of a social specialist) the safeguard management. In addition, as the DGM is a FIP option, a broader support from the FIP team (which includes a Social expert and an Environmental expert). Finally, for the component 2b (support for securing land use rights), the project will work with the Agency in charge of the Protected Areas (ICCN) that is supported by other World Bank projects and have a Social Specialist for that purpose.	
5. Identify the key stakeholders and describe the mechanisms for consultation and disclosure on safeguard policies, with an emphasis on potentially affected people.	
The NEA is the main stakeholder as it is responsible for the safeguard management. The NEA is under the supervision of the National Steering Committee (NSC) that is constituted of the beneficiaries themselves. The NSC delegates have been selected by the communities after inclusive consultations, and those delegates have been associated with the multiple decisions to be taken regarding safeguards.	
Further, the preparation of the safeguards instruments was subject to consultations at national and provincial levels. The results of the consultations are included in the safeguards instruments. Continues consultations at local community level, is the key project implementation strategy.	

B. Disclosure Requirements

Environmental Assessment/Audit/Management Plan/Other	
Date of receipt by the Bank	24-Jul-2015
Date of submission to InfoShop	05-Aug-2015
For category A projects, date of distributing the Executive Summary of the EA to the Executive Directors	00000000
"In country" Disclosure	
Congo, Democratic Republic of	05-Aug-2015
<i>Comments:</i>	
Resettlement Action Plan/Framework/Policy Process	
Date of receipt by the Bank	24-Jul-2015

Date of submission to InfoShop	05-Aug-2015
"In country" Disclosure	
Congo, Democratic Republic of	05-Aug-2015
<i>Comments:</i>	
Indigenous Peoples Development Plan/Framework	
Date of receipt by the Bank	24-Jul-2015
Date of submission to InfoShop	05-Aug-2015
"In country" Disclosure	
Congo, Democratic Republic of	05-Aug-2015
<i>Comments:</i>	
If the project triggers the Pest Management and/or Physical Cultural Resources policies, the respective issues are to be addressed and disclosed as part of the Environmental Assessment/Audit/or EMP.	
If in-country disclosure of any of the above documents is not expected, please explain why:	

C. Compliance Monitoring Indicators at the Corporate Level

OP/BP/GP 4.01 - Environment Assessment			
Does the project require a stand-alone EA (including EMP) report?	Yes [<input checked="" type="checkbox"/>]	No [<input type="checkbox"/>]	NA [<input type="checkbox"/>]
If yes, then did the Regional Environment Unit or Practice Manager (PM) review and approve the EA report?	Yes [<input checked="" type="checkbox"/>]	No [<input type="checkbox"/>]	NA [<input type="checkbox"/>]
Are the cost and the accountabilities for the EMP incorporated in the credit/loan?	Yes [<input checked="" type="checkbox"/>]	No [<input type="checkbox"/>]	NA [<input type="checkbox"/>]
OP/BP 4.04 - Natural Habitats			
Would the project result in any significant conversion or degradation of critical natural habitats?	Yes [<input type="checkbox"/>]	No [<input checked="" type="checkbox"/>]	NA [<input type="checkbox"/>]
If the project would result in significant conversion or degradation of other (non-critical) natural habitats, does the project include mitigation measures acceptable to the Bank?	Yes [<input type="checkbox"/>]	No [<input type="checkbox"/>]	NA [<input checked="" type="checkbox"/>]
OP/BP 4.11 - Physical Cultural Resources			
Does the EA include adequate measures related to cultural property?	Yes [<input checked="" type="checkbox"/>]	No [<input type="checkbox"/>]	NA [<input type="checkbox"/>]
Does the credit/loan incorporate mechanisms to mitigate the potential adverse impacts on cultural property?	Yes [<input type="checkbox"/>]	No [<input type="checkbox"/>]	NA [<input checked="" type="checkbox"/>]
OP/BP 4.10 - Indigenous Peoples			
Has a separate Indigenous Peoples Plan/Planning Framework (as appropriate) been prepared in consultation with affected Indigenous Peoples?	Yes [<input type="checkbox"/>]	No [<input type="checkbox"/>]	NA [<input checked="" type="checkbox"/>]
OP/BP 4.12 - Involuntary Resettlement			
Has a resettlement plan/abbreviated plan/policy framework/process framework (as appropriate) been prepared?	Yes [<input checked="" type="checkbox"/>]	No [<input type="checkbox"/>]	NA [<input type="checkbox"/>]

If yes, then did the Regional unit responsible for safeguards or Practice Manager review the plan?	Yes [<input checked="" type="checkbox"/>]	No [<input type="checkbox"/>]	NA [<input type="checkbox"/>]
Is physical displacement/relocation expected?	Yes [<input type="checkbox"/>]	No [<input type="checkbox"/>]	TBD [<input type="checkbox"/>]
Provided estimated number of people to be affected			
Is economic displacement expected? (loss of assets or access to assets that leads to loss of income sources or other means of livelihoods)	Yes [<input type="checkbox"/>]	No [<input type="checkbox"/>]	TBD [<input type="checkbox"/>]
Provided estimated number of people to be affected			
OP/BP 4.36 - Forests			
Has the sector-wide analysis of policy and institutional issues and constraints been carried out?	Yes [<input checked="" type="checkbox"/>]	No [<input type="checkbox"/>]	NA [<input type="checkbox"/>]
Does the project design include satisfactory measures to overcome these constraints?	Yes [<input checked="" type="checkbox"/>]	No [<input type="checkbox"/>]	NA [<input type="checkbox"/>]
Does the project finance commercial harvesting, and if so, does it include provisions for certification system?	Yes [<input type="checkbox"/>]	No [<input checked="" type="checkbox"/>]	NA [<input type="checkbox"/>]
The World Bank Policy on Disclosure of Information			
Have relevant safeguard policies documents been sent to the World Bank's Infoshop?	Yes [<input type="checkbox"/>]	No [<input checked="" type="checkbox"/>]	NA [<input type="checkbox"/>]
Have relevant documents been disclosed in-country in a public place in a form and language that are understandable and accessible to project-affected groups and local NGOs?	Yes [<input type="checkbox"/>]	No [<input checked="" type="checkbox"/>]	NA [<input type="checkbox"/>]
All Safeguard Policies			
Have satisfactory calendar, budget and clear institutional responsibilities been prepared for the implementation of measures related to safeguard policies?	Yes [<input checked="" type="checkbox"/>]	No [<input type="checkbox"/>]	NA [<input type="checkbox"/>]
Have costs related to safeguard policy measures been included in the project cost?	Yes [<input checked="" type="checkbox"/>]	No [<input type="checkbox"/>]	NA [<input type="checkbox"/>]
Does the Monitoring and Evaluation system of the project include the monitoring of safeguard impacts and measures related to safeguard policies?	Yes [<input checked="" type="checkbox"/>]	No [<input type="checkbox"/>]	NA [<input type="checkbox"/>]
Have satisfactory implementation arrangements been agreed with the borrower and the same been adequately reflected in the project legal documents?	Yes [<input checked="" type="checkbox"/>]	No [<input type="checkbox"/>]	NA [<input type="checkbox"/>]

III. APPROVALS

Task Team Leader(s):	Name: Loic Jean Charles Braune	
<i>Approved By</i>		
Safeguards Advisor:	Name: Johanna van Tilburg (SA)	Date: 08-Nov-2015
Practice Manager/Manager:	Name: Benoit Bosquet (PMGR)	Date: 17-Nov-2015