

# INTEGRATED SAFEGUARDS DATA SHEET CONCEPT STAGE

**Report No.:** ISDSC13570

**Date ISDS Prepared/Updated:** 10-Sep-2015

**Date ISDS Approved/Disclosed:** 11-Sep-2015

## I. BASIC INFORMATION

### A. Basic Project Data

<b>Country:</b>	Dominican Republic	<b>Project ID:</b>	P151752
<b>Project Name:</b>	Dominican Republic. FCPF REDD+ Readiness Preparation Project (P151752)		
<b>Task Team Leader(s):</b>	Gerardo Segura Warnholtz		
<b>Estimated Board Date:</b>	31-Jul-2020		
<b>Managing Unit:</b>	GEN04		
<b>Sector(s):</b>	Forestry (100%)		
<b>Theme(s):</b>	Climate change (100%)		
<b>Financing (In USD Million)</b>			
Total Project Cost:	3.80	Total Bank Financing:	0.00
Financing Gap:	0.00		
<b>Financing Source</b>		<b>Amount</b>	
Borrower		0.00	
Readiness Fund of the Forest Carbon Partnership Facility		3.80	
Total		3.80	
<b>Environmental Category:</b>	B - Partial Assessment		
<b>Is this a Repeater project?</b>	No		

### B. Project Objectives

Proposed Development Objective

The Project Development Objective (PDO) is to assist the Dominican Republic in the implementation key readiness activities to develop a national REDD+ strategy.

Key Results

The main results expected at project closure are presented below:

- a) A cross-sectoral government coordination body (Comité Directivo) and a multi-stakeholder participatory platform (Comité Técnico Asesor) for the management of REDD+ have been established and are under regular operation;
- b) A broad national consultation and participation strategy that mainstreams gender elements, and includes a Grievance Redress Mechanism for REDD+ has been designed and is under operation;
- c) A National REDD+ Strategy (ENA- REDD+) has been designed with the support of a broad stakeholder participation;
- d) A Strategic Environmental and Social Assessment (SESA) has been carried out, and informed the preparation of an Environmental and Social Management Framework (ESMF), as the country's main safeguards instrument for REDD+;
- e) The capacity and progress to establish a National Forest Reference Emission Level and/or a Forest Reference Level has been improved;
- f) The capacity and progress to develop a National Forest Monitoring System (NFMS) for the Measurement, Reporting, and Verification (MRV) of Green House Gases (GHG) emissions reductions and non-carbon impacts from REDD+ activities has been improved.

These results encompass the main elements needed by the DR to develop the country's "Readiness Package" (R-Package) under the FCPF, and provide the foundation for the country's participation in any future REDD+ mechanism under the United Nations Framework Convention on Climate Change (UNFCCC) that the DR may consider.

### **C. Project Description**

The Readiness Preparation Proposal (R-PP) of the DR identifies a broad set of activities aimed at strengthening the technical and institutional capacities for the Government to participate in a future payments for results REDD+ mechanism. The financial envelope for these activities is estimated at US\$5.077 million. The activities to be financed by the FCPF Preparation grant were selected jointly with the Ministry of Environment and Natural Resources (MENR), and in coordination with other donors, considering the following criteria: (i) activities needed to strengthen the immediate institutional capacity of MENR to conduct participatory and consultation processes for REDD+; (ii) fundamental readiness activities for which the GoDR had specific financial needs, not covered by other sources of funding; (iii) a discrete set of activities that would generate a specific outcome (with no- or minimal parallel-financing that could jeopardize the achievement of the project objective); and (iv) activities that complemented those of other sources of funding and the government, and that could serve to strengthen the achievement of the project objective.

The FCPF implementation grant contemplates the following five components (a detailed description of activities under each component is included in Annex III):

Component 1: REDD+ Readiness Organization and Consultation (US\$708,000.00). This component will assist MENR to: (i) establish and operate a multi-sector multi-stakeholder consultative platform for climate change and REDD+; (ii) design and operate a national communications and dissemination strategy for REDD+; and (iii) design and implement a consultation and participation strategy for REDD+ that includes a citizen feedback mechanism (i.e. Grievance Redress Mechanism

GRM).

Component 2: National REDD+ Strategy (ENA- REDD+)(US\$1,180,000.00). This component will assist MENR to: (i) identify and analyze the main direct and indirect causes of deforestation and degradation; (ii) identify effective REDD+ strategy options; (iii) design an implementation framework for REDD+; and (iv) assess possible social and environmental impacts associated to the REDD+ strategic options (i.e. SESA) and develop risk management instruments (e.g. ESMF).

Component 3: National Forest Reference/Emission Level (US\$320,000.00). This component will assist MENR to identify a national Reference Emissions Level, and/or Reference Level (REL/RL) for the forest sector.

Component 4: National Forest and Safeguards Monitoring Systems (NFMS) (US\$1,150,000.00). This component will assist MENR and other government agencies in the design and implementation of: (i) a national forest monitoring systems; and (ii) a national information system for multiple benefits, other impacts, safeguards and governance.

Component 5. Monitoring and Evaluation Framework and Grant Administration (US\$442,000.00). This component will support MENR in the establishment and operation of a technical/administrative implementation unit that will be in charge of coordinating and executing the technical and fiduciary activities of the readiness phase, including a monitoring and evaluation framework for REDD+ readiness institutional efforts

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

This grant will, in part, support the DR's activities to identify the potential risks associated with REDD+ activities and mitigation options. In order to do this, the FCPF is using a Strategic Environmental and Social Assessment (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 process, in particular the ENA-REDD+; (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.

#### **E. Borrowers Institutional Capacity for Safeguard Policies**

Regarding the Ministry of Environment and Natural Resources' capacity for safeguard analysis and management, the Project contemplates, as one of its first actions, to recruit a qualified social and environmental specialists, with gender mainstreaming expertise. These specialists will oversee the design and implementation of the overall social and environmental aspects and safeguards, and work closely with the PIU members on the design and implementation of the SESA process to identify potential risks and mitigation measures.

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

Dora Patricia Andrade (GEN04)

Kimberly Vilar (GSURR)

## **II. SAFEGUARD POLICIES THAT MIGHT APPLY**

Safeguard Policies	Triggered?	Explanation (Optional)
Environmental Assessment OP/BP 4.01	Yes	<p>This project's explicit goal is to promote the reduction in rates of deforestation and degradation by rewarding measures to protect and conserve forests. The environmental impacts of the REDD+ strategy are expected to be mostly positive, and it is expected that benefits associated with forests will improve as forest cover increases. Not only as a sink for carbon but also for the many environmental services, forests provide such as watershed protection, provision of important habitats, and sustainable source forest based livelihoods. The REDD+ strategy itself would not finance the harvesting or conversion of forests so there is little to no direct adverse impact associated with activities planned as part of the strategic options.</p> <p>The team, however, considers that the principal risk from REDD+ could arise in the event that the strategies fail to achieve their objectives thereby creating unexpected indirect adverse impacts through the unintended creation of incentives to clear forests for other purposes. This could occur, for example, if incentive schemes are insufficient or failed to provide sufficient incentive to retain areas under forest cover. Similar risks could occur for example if lack of land tenure security were to undermine commitment to maintain land under forest cover for long time periods. For these reasons, and due to the critical nature of strategic options and choices being considered, OP 4.01 is applicable to the REDD+ activities.</p> <p>The Project is expected to prepare a Strategic Environmental and Social Assessment (SESA) and an Environmental and Social Management Framework (ESMF) through Component 2. As needed, existing or new participatory and consultation platforms will be established to ensure involvement of all forest dependent stakeholders. To assess whether certain forest dwellers or vulnerable communities require modifications to the existing participatory and consultation platforms, the Project will include, under Component 1.c, an action plan with the following objectives: (i) documentation and an assessment of the approach and actions MENR has been conducting to engage vulnerable groups</p>

		thus far (e.g. international legal agreements, grassroots initiatives with women rural producers, amongst other actions); (ii) a study to research the impacts of deforestation and forest degradation on vulnerable forest dependent communities, and engagement in climate change policy; and (iii) an engagement and consultation strategy to ensure the participation of vulnerable groups as stakeholders in the development of the national REDD+ strategy.
Natural Habitats OP/BP 4.04	Yes	<p>This policy is triggered given that the REDD+ strategy will likely involve work both within existing protected areas as well as other forest habitats of varying significance.</p> <p>If the REDD+ strategies are successful, the impacts on critical forest habitats are expected to be positive, nevertheless SESA will evaluate the possible risks associated with strategic options on forest habitats within protected areas as well as other sensitive forest habitats under private or communal control. During the formulation of the REDD+ strategy consultations will be carried out with key stakeholders to identify potential issues of concern.</p>
Forests OP/BP 4.36	Yes	<p>This policy is triggered given that Project activities will be conducted in forest areas, and could involve the commercial management of forest resources.</p> <p>REDD+ is an important part of the DR's long term forest and environmental management programs because the country continues to face degradation of its natural resources, especially its natural forests, soil, and water resources. However, there is evidence of a significant recovery of secondary forests and biodiversity. These remaining forests are of great importance for the livelihoods and wellbeing of local communities. The Readiness phase Grant will not finance the harvesting or conversion of forests. During the preparation phase, these and other forestry and rural development initiatives will be evaluated in order to ensure lessons are incorporated early in the design and key social and environmental risks and potential impacts associated with REDD+ are considered in the ESMF or other appropriate safeguard instrument.</p>
Pest Management OP 4.09	TBD	This policy remains TBD until the full scope of Project activities are defined. There is still insufficient information to determine if forest

		<p>management practices will involve pesticide use.</p> <p>At present it is not envisioned that the REDD+ strategy would finance or lead to an increased use of pesticides or other agricultural chemicals. The SESA will evaluate the potential for the use of chemicals in forest management and, if necessary, appropriate guidelines and analytical approaches would be defined in the ESMF or other appropriate safeguard instruments.</p>
Physical Cultural Resources OP/BP 4.11	TBD	<p>This policy is TBD given: a) the uncertainty regarding the exact locations of activities under the Project; and, b) some of the forests or landscapes involved with the REDD+ strategy might be considered to have historical or cultural significance.</p> <p>If triggered, the ESMF or other safeguard instrument would include specific provisions to assess the possibility of such impacts prior to any activities being undertaken on the ground. Under the preparation grant, funds have been reserved to conduct studies to identify sacred sites</p>
Indigenous Peoples OP/BP 4.10	No	This policy is not be triggered as there are no longer distinct indigenous peoples according to the four criteria established under OP 4.10 in the DR.
Involuntary Resettlement OP/ BP 4.12	Yes	This policy is triggered, primarily because there could be potential restrictions on the use of natural resources in national protected areas associated with the REDD+ strategic options and whilst unlikely, there is still possibility that land acquisition would be required. Given that this grant will finance preparation and planning activities for REDD+ and includes a SESA, the determination of any needed mitigation measures for future activities, such as the formulation and consulting of a Process Framework and possible other needed instruments, would be determined and carried out during project implementation.
Safety of Dams OP/BP 4.37	No	This policy is not triggered because the Project will not support the construction or rehabilitation of dams or other investments that rely on the services of existing dams.
Projects on International Waterways OP/BP 7.50	No	The policy is not be triggered because the Project will not affect international waterways as defined under the policy.
Projects in Disputed Areas OP/	No	The policy is not be triggered because the proposed

BP 7.60		Project will not affect disputed areas as defined under the policy.
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### III. SAFEGUARD PREPARATION PLAN

**A. Tentative target date for preparing the PAD Stage ISDS:** 29-Jun-2018

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

**The specific studies and their timing<sup>1</sup> should be specified in the PAD-stage ISDS:**

Safeguard related studies have been preliminarily identified by the GoDR, and in consultation with multiple stakeholders (SESA Workshop). Studies will be initiated in the first semester of project implementation, and will be an important element for the participatory construction of the SESA and ESMF.

### IV. APPROVALS

Task Team Leader(s):	Name: Gerardo Segura Warnholtz	
<b><i>Approved By:</i></b>		
Safeguards Advisor:	Name: Maged Mahmoud Hamed (SA)	Date: 08-Sep-2015
Practice Manager/ Manager:	Name: Raul Ivan Alfaro Pelico (PMGR)	Date: 11-Sep-2015

<sup>1</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.