



Combined Project Information Documents / Integrated Safeguards Datasheet (PID/ISDS)

Appraisal Stage | Date Prepared/Updated: 11-Feb-2019 | Report No: PIDISDSA25270



BASIC INFORMATION

A. Basic Project Data

Country Congo, Democratic Republic of	Project ID P160182	Project Name Improved Forested Landscape Management Project (GEF AF)	Parent Project ID (if any) P128887
Parent Project Name DRC Improved Forested Landscape Management Project	Region AFRICA	Estimated Appraisal Date 12-Dec-2018	Estimated Board Date 31-May-2019
Practice Area (Lead) Environment & Natural Resources	Financing Instrument Investment Project Financing	Borrower(s) MINISTRY OF ENVIRONMENT, and SUSTAINABLE DEVELOPMENT	Implementing Agency Ministry of Environment, and Sustainable Development

GEF Focal Area

Multi-focal area

Proposed Development Objective(s) Parent

The project development objective is to test new approaches to improve community livelihoods and forested landscape management, and to reduce greenhouse gas emissions from deforestation and forest degradation in selected areas in the Recipient's territory.

Components

- Integrated REDD+ Project at the Mai Ndombe Province Level
- Facilitation of Private Sector Activities to Reduce Fuel Wood emissions
- Promote small-scale agroforestry systems to reduce land-use emissions
- Knowledge management and program Coordination

PROJECT FINANCING DATA (US\$, Millions)

SUMMARY

Total Project Cost	6.21
Total Financing	6.21
of which IBRD/IDA	0.00
Financing Gap	0.00



DETAILS

Non-World Bank Group Financing

Trust Funds	6.21
Global Environment Facility (GEF)	6.21

Environmental Assessment Category

B-Partial Assessment

Decision

The review did authorize the team to appraise and negotiate

Other Decision (as needed)

B. Introduction and Context

BACKGROUND

- This Project Paper seeks the approval of the Board to provide an Additional Financing (AF) grant in the amount of \$6.21 million** to the Democratic Republic of Congo (DRC) for the Improved Forested Landscape Management Project (IFLMP, P128887), with funds from the Global Environment Facility (GEF). The proposed GEF AF, jointly with a previously approved AF from the Central African Forest Initiative (CAFI AF; P162837), will help finance the costs associated with a scale-up and expansion of the parent project activities to the entire Mai Ndombe Province, as well as implementation of new activities to enhance the impact of the well-performing parent project.
- The project development objective (PDO), which remains unchanged, is “to test new approaches to improve community livelihoods and forested landscape management, and to reduce greenhouse gas emissions from deforestation and forest degradation in selected areas in the Recipient’s territory”.** The project’s closing date is currently December 31, 2022 and is not extended. The GEF AF will not require any changes to the project components. The safeguard category is maintained at B.
- The parent project – DRC Improved Forested Landscape Management Project (IFLMP) – is financed by a \$36.9 million grant from the Forest Investment Program (FIP) under the Strategic Climate Fund, approved on June 24, 2014 and which became effective in April 2015. The CAFI AF to the IFLMP was approved on June 28, 2017 and became effective on May 18, 2018. The changes the first AF brought to the parent project were: (i) expansion of the geographical scope of the project to cover the entire province of Mai Ndombe; (ii) expansion of the original range of investments to include the development of supply chains for perennial crops such as coffee, cocoa, rubber and oil palm; (iii)**



support for family planning and Indigenous Peoples (IPs); and (iv) adjustments of the targets in the results framework to reflect the AF activities.

- The IFLMP, including its two AFs, is a major part of the country's Emission Reductions Program (ER Program) in the Mai Ndombe Province** which was included in the portfolio of the Carbon Fund of the Forest Carbon Partnership Facility (FCPF) on December 7, 2016. The Mai Ndombe ER Program covers an area of 12.3 million hectares, including 9.8 million hectares of forest. It is the first jurisdictional REDD+ program for results-based payments on a large scale in DRC and the Congo Basin and among the first in Africa and worldwide. Its goal is to develop a provincial-level model for forest-smart development that provides alternatives to deforestation while simultaneously mitigating climate change, reducing poverty and securing local livelihoods, enhancing the governance of natural resources, and protecting biodiversity. The World Bank and the government signed an Emission Reductions Payment Agreement (ERPA), for a value of \$55 million, in September 2018 (P160320). The net emission reductions target is 29 MtCO₂e for 2018-2022, which coincides with the implementation period for the proposed AF-funded activities.

PROJECT PERFORMANCE AND ACHIEVEMENTS

- Project Performance.** The IFLMP (including the now incorporated CAFE AF) is rated "Satisfactory" in terms of both "Progress towards achievement of PDO" and "Overall Implementation Progress."¹ Disbursement stands at 50.3 percent. Project Management, Procurement, Financial Management, and Monitoring and Evaluation are all rated "Satisfactory". The project coordination unit (FIP-CU) was established at the national level and housed in the Ministry of Environment and Sustainable Development (MESD), working in close collaboration with the central, provincial, and district governments. It has strengthened administrative and institutional capacity and allowed the Ministry to fulfill its mission of transparent, sustainable natural resources management, and enhancement of environmental services in the longer term. There are no major fiduciary issues or outstanding audits. All legal covenants have been substantially met.
- The results achieved on October 31, 2018 include, with FIP funding:** the creation of more than 14,740 hectares of agroforestry with about 110,000 beneficiaries, the protection of more than 21,250 hectares of savanna, the roll-out of a payment mechanism for environmental services for communities of the Plateau District as well as the local manufacturing and distribution of more than 13,950 cookstoves in Kinshasa. The main contracts have been signed with the local implementation agencies (LIAs), including one with the World Wildlife Fund for Nature (WWF) for Component 1 in the Plateau District.
- It is too early to report results to date from the CAFE-funded investments in the Mai Ndombe District.** The Consortium FRMi/WWC (Wildlife Works Carbon) was selected as the LIA in May 2018 and only started up in August 2018.

RATIONALE FOR THE PROPOSED ADDITIONAL FINANCING ACTIVITIES

- The proposed GEF AF seeks to scale up the investments currently under implementation in the Mai**

¹ Implementation Status Report (ISR) of May 27, 2018.



Ndombe Province through the FIP parent project and the CAFI AF. As detailed below, this will contribute to better achieving the PDO of the parent project, to helping the implementation of the ER Program in the Mai Ndombe Province and achieving programmatic goals of the GEF.

9. **The proposed GEF AF, in tandem with the CAFI AF, will implement a coherent and coordinated territorial approach to combat deforestation and forest degradation in the Mai Ndombe Province by:** (i) enhancing the capacity of local authorities (Local Development Committees—LDCs, and Rural Management Councils—CARTs) to support land-use planning exercises at the village level; and (ii) supporting trained and motivated decentralized administrations to monitor and support community forest management. Support will be provided for the development of hundreds of management plans at the LDC level (up to 760, out of which 600 in the Mai Ndombe District, and the rest in the Plateau District), as well as for their implementation, including support to community-managed forests.
10. **Given that such activities represent a natural continuation and expansion of the parent project's activities, additional financing is the most appropriate option to maximize development outcomes,** as was the case with the CAFI AF. The implementing agency, the MESD, and more particularly the FIP-CU, has demonstrated strong commitment and has proven to be a competent implementation agency, as shown by the parent project's satisfactory track record. With this second AF, there would be no change to the Project Development Objective (PDO) or to the key implementation arrangements. Minor adjustments are needed of the project's results framework to reflect the additional activities funded by the GEF AF.
11. **The GEF AF will support the government's ER Program in the Mai Ndombe Province.** The country is now equipped with the building blocks of the Reducing Emissions from Deforestation and Forest Degradation (REDD+) process (Implementation Framework, REDD+ National Strategy, safeguards instruments, Feedback and Grievance Redress Mechanism, Baseline(s), National Forest Surveillance System, and Registry), which is being piloted by the IFLMP. The DRC joined forces with public and private partners, such as WWF and Wildlife Works Carbon (WWC), in the submission of its ER Program to the FCPF Carbon Fund as part of a competitive selection process.
12. **From a GEF perspective, the GEF AF brings incremental resources to Mai Ndombe Province to:** i) provide additional resources to help reduce carbon emissions with a special focus on community-managed forestry; ii) ensure an adequate consideration of biodiversity conservation; iii) focus extra attention on working with indigenous peoples in the management of their own biodiversity/forest resources; and iv) apply incremental resources for the development of policy and regulatory capacity at the national and provincial levels. For this reason, funding from the climate change and biodiversity operational focal areas is being requested for the GEF AF. Annex 3 provides further information on the incremental reasoning with respect to the GEF program priorities.
13. **The GEF AF is in line with the World Bank's FY2013-FY2016 Country Assistance Strategy² for the DRC,** which focuses on four strategic objectives: (i) increase the effectiveness of the state at the center and at decentralized levels and improve good governance while strengthening the development impact of World Bank operations; (ii) boost the competitiveness of the economy by accelerating private-sector-led growth that will create jobs; (iii) improve social service delivery to raise human development

² A Country Partnership Framework, to replace the CAS, is currently under preparation.



indicators; and (iv) address the development deficits contributing to fragility and conflicts in DRC's Eastern provinces – with gender and climate change as cross-cutting themes throughout. The AF responds to Objective 1 by empowering the Mai Ndombe Province as the ER Program owner; Objective 2 by contributing to private-sector-led growth and job creation; and Objective 3 by improving community livelihoods.

14. **The IFLMP, including its two AFs (CAFI and GEF) is implementing the recommendations set in the Systematic Country Diagnostic (SCD)**³completed in March 2018, and more particularly these detailed under the *Chapter 9. Leveraging Infrastructure, Natural Resources, and Agriculture* regarding the following themes among others: (i) land administration; (ii) agriculture; (iii) forests and biodiversity; and (iv) climate change: adaptation and mitigation.
15. **Alternatives considered to AF.** Given that the proposed activities under the GEF AF represent a natural continuation and expansion of the parent project's activities, an AF is the most appropriate option to maximize development outcomes. As compared to preparing a new stand-alone project, this instrument will also enable a faster and more cost-effective response to the client's request to sustain and scale-up the parent project and to make efficient use of GEF resources.

C. Proposed Development Objective(s)

Original PDO

16. **The project development objective** is to test new approaches to improve community livelihoods and forested landscape management, and to reduce greenhouse gas emissions from deforestation and forest degradation in selected areas in the Recipient's territory.

Current PDO

17. **There are no proposed changes to the PDO.**

Key Results

18. **The key results indicators at the PDO level remain unchanged** from the previous additional financing, although the targets are modified to reflect the addition of the GEF funds. The PDO level indicators are:
 - People in forest&adjacent community with monetary/non-monetary benefit from forest (disaggregated by gender and also for indigenous peoples)
 - Land area where sustainable land mgt. practices were adopted as a result of project
 - Designing and implementing new approaches
 - GHG emission reductions (and removals) generated under the project

³ The SCD (Report No. 112733-ZR) was made publicly available on June 28, 2018: <http://documents.worldbank.org/curated/en/546161529596307732/Congo-Democratic-Republic-of-Systematic-country-diagnostic/>.



19. **The intermediate output indicators are similarly unchanged** (but with changes in targets), one additional GEF-specific indicator is added, the Management and Effectiveness Tracking Tool (METT) score for Tumba Lediima Natural Reserve, and an indicator is added for the number of REDD+ subprojects registered with the National REDD+ agency.

D. Project Description

20. **The proposed AF of \$6.21 million will** scale up and complement the IFLMP investments under **implementation** in the Mai Ndombe Province. The table below provides an overview of the funding of the project with the GEF AF additions summarily described further below. Annex 1 provides a more detailed description of the GEF AF activities.

Component and Subcomponents	FIP (\$ millions)	CAFI AF (\$ millions)	GEF AF (\$ millions)	Total FIP + CAFI + GEF (\$ millions)
Component 1	PIREDD Plateau	PIREDD Mai Ndombe	Integrated REDD+ Project at the Mai Ndombe Province Level	
1a: Strengthening governance	14.20	2.6	1.23	34.97
1b: Capacity building for decentralized administration		0.36		
1c: Implementation of SMPs		8.83	2.57	
1d: Value chains		0.72		
1e: Connectivity investments		4.46		
1f: Support to vulnerable communities		0.78	0.70	1.48
1g: Family planning		0.47		0.47
1h: Protected areas			1.42	1.42
Sub-Total Component 1	14.20	18.22	5.92	38.34
Component 2: Facilitation of private sector activities to reduce fuel wood emissions	8.00			8.00
Component 3: Promotion of agroforestry systems to reduce land-use emissions	10.50			10.50
Component 4: Knowledge management and program coordination	4.20		0.29	4.49
Total	36.90	18.22	6.21	61.33

Table 1-1. IFLMP Funding by Subcomponent and Financier

21. **Subcomponent 1a (\$1.23 million of GEF funds). Strengthening governance for sustainable management of natural resources of the Mai Ndombe Province.** The IFLMP is supporting the following activities in the Mai Ndombe Province: (i) organizing communities into Local Development Committees (LDCs); (ii) strengthening the CARTs at the territory and sector level (with equipment provided so as to facilitate the work of these committees); (iii) supporting regularization of land tenure; (iv) developing



Sustainable Development Plans (SDPs) at every level (territory, sector), starting with the territories; and (v) developing Sustainable Management Plans (SMPs) for LDCs.

22. **The incremental GEF funding will expand the scope of the SMPs** to more completely address biodiversity conservation issues which would otherwise receive only partial attention. About 760 SMPs will be prepared under the IFLMP and its CAFI AF and the additional GEF funds will add about 20% more resources per SMP. This will allow for considerably greater attention to biodiversity conservation and forest management than would have otherwise been possible. Additionally, \$400,000 will finance capacity building of MESD at the national level and \$100,000 at the provincial level.
23. **Subcomponent 1c (\$2.57 million of GEF funds). Implementation of investments identified in SMPs.** The IFLMP is financing the implementation of investments described in the 760 SMPs. High-priority biodiversity conservation activities will be financed with the existing funding.
24. **GEF AF funding will support the development of two community-managed forests as made possible under the 2015 Community Forestry Law.** Each of the community-managed forests will be up to 50,000 ha (the maximum size allowed under the law). The GEF AF will support the investments needed, as has been done in the six community-managed forests under the Dedicated Grant Mechanism (DGM) which does not cover Mai Ndombe Province. The funding would additionally provide financing to register two locally implemented initiatives as formally recognized REDD+ subprojects under the requirements in place as per national procedures. This would allow local communities to benefit from future revenue streams from ER payments. The REDD+ subprojects could be the community-managed forests themselves if sufficient interest and capacity is noted during preparation of the SMPs.
25. **Subcomponent 1f (\$0.7 million of GEF funds). Support to the most vulnerable communities.** As currently funded, the IFLMP supports the implementation of micro-projects for IPs. Consultations and activities related to IPs are implemented in close coordination with the Forest Dependent Community Support Project (P149049) financed by the DGM. Funds are insufficient under the IFLMP to fund all the 20 IP microprojects that have been identified and consulted. The GEF AF will be able to finance about 6 of the already identified micro-projects, in communities where the activities focused on community-forest management. The GEF AF will also support additional consultations and development of at least two IP-managed community forest concessions as described above for the Subcomponent 1c.
26. **Subcomponent 1h (\$1.42 million of GEF funds). Support for protected areas (new subcomponent).** The GEF AF will invest resources to support an important protected area in the province, the Tumba Lediima Nature Reserve (TLNR). More details on TLNR are in Annex 6 and the activities themselves are described in Annex 1. Investments will include institutional support to the Congolese Nature Conservation Institute (ICCN, Institut Congolais pour la Conservation de la Nature), development of co-management structures with local communities (consultations, putting in place truly consultative planning and reserve management implementation with stakeholders), delimitation of the reserve and likely reissuance of the decree to resolve jurisdictional overlaps with forestry concessions and other problems with the existing reserve, infrastructure investments in the reserve and support to reserve operational costs.
27. **Component 4 (\$295,000 of GEF funds). Project management.** Finally, 5% of the component subtotal of the GEF grant amount will be added to Component 4 to contribute to project management costs. These



funds will contribute to costs such as key project management staff, audits, operational costs of the coordinating unit, and M&E costs. As the IFLMP will start to wrap up investments, a critical activity will be generating lessons learned and compiling and organizing the knowledge accumulated through this project. GEF funds will contribute as applicable to GEF goals.

28. **Gender considerations.** Gender-disaggregated indicators include those for number of people with monetary/non-monetary benefits from forests, number of participants in consultations, and number of farmers adopting improved agro-forestry technologies. In June 2018, the World Bank conducted a gender-based violence (GBV) Risk Assessment Portfolio Review in the DRC which led to the following project-specific recommendations and opportunities for the IFLMP, which are currently being designed and implemented (and which are applicable for all the GEF AF investments):
- Integrate gender discussion groups for women, especially those participating in the village savings and credit initiatives, including sharing of household decision-making and financial management (women being able to safely discuss strategies of how to manage the money they earn). If possible, include discussion group activities with husbands/male family members, with the objective of making positive changes to the status of women within the household and contributing to the reduction of the risk of intimate partner violence related to changing gender dynamics by providing men and women with skills in non-violent conflict resolution.
 - Increase target from 30% to 50% female participants in consultation activities during project implementation, to align with the objective of fair representation and full participation of women.
 - Include assessment of project-related impacts that reflect gender-differentiated outcomes, including unintended exacerbation of risk of GBV. For example, if cook stoves save time in cooking, understand how women spend that time instead.

E. Implementation

Institutional and Implementation Arrangements

29. **Implementation arrangements for the project will for the most part remain unchanged**, as described in the existing Project Implementation Manual (PIM), which will be updated by Negotiations of the GEF AF. Briefly, the Mai Ndombe Provincial Steering Committee will remain responsible for steering, monitoring and evaluating the Mai Ndombe PIREDD. It is chaired by the provincial Minister of the Environment. Subcomponent 1(h) will be technically implemented by ICCN (but the FIP-CU will handle procurement and financial management) as will be further described in a MOU to be signed between ICCN and MESD.
30. **The implementation of the project falls under the authority of MESD**; its implementation (including for the activities financed by the GEF AF) will continue to be assigned to the FIP-CU. The FIP-CU has competitively engaged an international non-governmental organization (NGO) for the implementation of most of the activities financed by the CAFI AF, known as the Delegated Implementing Agency (DIA). The GEF-financed activities will for the most part not be implemented by the DIA but will be executed directly by the FIP-CU or outsourced in accordance with the project's procurement procedures and the PIM. The partnership agreement with the DIA will be updated to reflect the additional responsibilities that will accrue to them.



31. **Monitoring and evaluation of the project's indicators will be conducted by the FIP-CU**, supported in the field by the LDCs and the Councils for Agriculture and Rural Management (CART). These will be reinforced by the project and will be in direct contact not only with the FIP-CU but also with the National REDD+ Coordination Unit (CN-REDD).
32. **Sub-projects.** The FIP-CU makes sub-grants to beneficiaries in accordance with eligibility criteria and procedures acceptable to the World Bank described in the PIM. Further details are included in the PIM but briefly, the sub-grants include a contribution from the beneficiary, obligations to respect the project's environmental and social safeguard frameworks, anti-corruption measures, procurement and financial management provisions, and reporting requirements.
33. **Performance-Based Incentives and Investments.** Part of the proceeds of the sub-grants available to communities are provided under Agreements for Performance-Based Incentives, as are already described in the PIM ("Agreements for Performance-Based Incentives and Investments").

F. Project location and Salient physical characteristics relevant to the safeguard analysis (if known)

Project location: Component 1 was originally implemented in the Plateau District within the Bandundu Province. With the change in provincial limits and with the addition of the CAFI AF and GEF AF, this component is now implemented in the Plateau and Mai Ndombe Districts of the Mai Ndombe Province. Component 2a is geographically open. The area of intervention depends on the projects that will be submitted for financing. Component 2b targets the urban population of Kinshasa. Component 3 is implemented in the Bas Congo Province and on the Bateke Plateau (Kinshasa Province) in the Region of Mbankana. Salient physical characteristics: Out of DRC's total population of over 65 million, more than 8 million live in Kinshasa. Kinshasa and its surrounding areas are subject to a hot and humid tropical climate. Soils are mainly sandy with low to medium agricultural potential. Vegetation is mostly degraded savanna with some remaining forest tracts (especially on the slopes along the Congo River and its affluents). Further north in the Bandundu Province areas of savanna-forest mosaic remain. Deforestation rates in the Project intervention area (mainly in the Plateau District) are well above the national average and mainly driven by shifting cultivation in riparian forests and shrubby savannas and processing of residual biomass into charcoal for the Kinshasa market. The Bombo-Lumene Hunting Reserve ("Domaine de Chasse") is the only protected area in the project zone (of Component 2), and no activities will be undertaken inside this protected area. It is expected that the promotion of agroforestry and improved cook stoves will reduce fuelwood collection pressure on this Hunting Reserve. Tumba Lediima Nature Reserve will be supported under Component 1 with GEF funds.



G. Environmental and Social Safeguards Specialists on the Team

Richard Everett, Social Specialist

Joelle Nkombela Mukungu, Environmental Specialist

SAFEGUARD POLICIES THAT MIGHT APPLY

Safeguard Policies	Triggered?	Explanation (Optional)
Environmental Assessment OP/BP 4.01	Yes	This policy is triggered mainly because of activities planned under component 1. The GEF AF will extend actions to the Tumba Lediima Natural Reserve, where it will support among others, infrastructure construction activities (offices, housing, basic park infrastructure). The Environmental and Social Management Framework (ESMF) has been updated to consider potential impacts related to the support to the Tumba Lediima Natural Reserve and include measures to address risks related to sexual and gender-based violence, health and safety, child labor, as well as labor influx. The revised ESMF will be disclosed within the country and on the Bank's external website.
Performance Standards for Private Sector Activities OP/BP 4.03	No	N/A
Natural Habitats OP/BP 4.04	Yes	The Project will operate in natural habitats, but will not include activities that involve significant conversion or degradation of natural habitats. Instead, project activities are designed to reduce pressures on natural habitats and improve their conservation. Agroforestry activities will be promoted in degraded savanna lands. The updated ESMF includes potential impacts and proposed mitigation measures.
Forests OP/BP 4.36	Yes	The project will operate in forested areas, but will not involve conversion or degradation of critical



forest areas. The Project will however finance agroforestry and plantations previously converted and degraded areas. Agroforestry activities under the Project will be designed to prevent and mitigate potential threats to biodiversity, including threats related to the introduction of invasive species. Potential impacts and proposed mitigation measures are included in the ESMF.

The Project is supporting intensification of agriculture and agroforestry activities developed by communities, private sector companies, local NGOs and farmer's organizations. Activities may thus require pest management activities. The Integrated Pest Management Plan (IPMP) prepared for the parent project (and updated for each AF) ensure that environmentally friendly methods for pest control are applied.

The project will support infrastructure activities in the Tumba Lediima Natural reserve. In addition to the fact that some project's activities might be located in, or in vicinity of physical cultural resources, sacred sites of local communities, infrastructure activities could lead to very minor excavations. The identification of possible physical cultural resources will be conducted on-site with relevant experts and project-affected groups. The Cultural Resources Management Framework (CRMF) prepared under the parent project will apply as well for this AF and was updated for the GEF AF. "Chance Finds" procedures must be part of all work contracts.

An Indigenous Peoples' Planning Framework was prepared during the preparation of the FIP project, consulted upon and disclosed considering that, under Component 2a, activities or sub-projects developed by the private sector, could impact on Indigenous Peoples' lands and livelihoods. Specific Indigenous Peoples' Plans (IPP) were to be prepared and implemented, as required. A social assessment and an iterative appropriate gender and intergenerational inclusive consultation framework was developed to ensure Indigenous Peoples receive



culturally appropriate social and economic benefits and potential negative impacts are avoided, minimized, mitigated or compensated.

During the preparation of the CAFI AF, additional information became available on the proposed targeting of resources to benefit indigenous peoples. An Indigenous Peoples Plan was thus developed. This was further updated for the GEF AF.

The development and implementation of local land use plans promoted by the project could conceivably result in involuntary resettlement although this is unlikely and not planned. Therefore a resettlement policy framework (RPF) was developed the appropriate measures that would be needed. It is possible that there would be some restriction of access to natural resources in Tumba Lediima Natural Reserve. Therefore the Process Framework, developed earlier in the project, has been updated to cover this part of the project.

Involuntary Resettlement OP/BP 4.12 Yes

Safety of Dams OP/BP 4.37 No N/A

Projects on International Waterways OP/BP 7.50 No N/A

Projects in Disputed Areas OP/BP 7.60 No N/A

KEY SAFEGUARD POLICY ISSUES AND THEIR MANAGEMENT

A. Summary of Key Safeguard Issues

1. Describe any safeguard issues and impacts associated with the proposed project. Identify and describe any potential large scale, significant and/or irreversible impacts:

The project impacts will be primarily positive and local in nature. No potential large scale, significant or irreversible impacts are foreseen. Minor potential adverse social and environmental impacts are conceivable as investments are made supporting local communities, promoting agroforestry and forestry, supporting a protected area, and supporting investments targeted to indigenous peoples. The nature of potential impacts resulted in a large number of frameworks being prepared for the project: an Environmental and Social Management Framework, a Cultural Heritage Framework, a Pest Management Policy, an Involuntary Resettlement Framework (although no involuntary resettlement is anticipated), and a Process Framework.

2. Describe any potential indirect and/or long term impacts due to anticipated future activities 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. Impacts are expected to be 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).

3. Describe any project alternatives (if relevant) considered to help avoid or minimize adverse impacts.

Project activities were selected following a series of consultations and comparative analysis of potential areas of investments. The consultations were held at the time of the formulation of the original FIP project and for both of the additional financings. The selected activities are in line with the Government's priorities on climate change mitigation and REDD+ and in order to move forward with the globally ground-breaking ER Program there were really no alternatives that were considered.

Regarding social and environmental costs and benefits, the Government selected the areas considered most appropriate to develop foreseen activities. Alternatives to selected sites were considered less promising.

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 government prepared and disclosed six safeguards instruments at the time of the preparation of the FIP Project. They were updated for the CAFI AF and then again for the GEF AF. They are: i) an Environmental and Social Management Framework (ESMF); ii) An Integrated Pest Management Plan (IPMP); iii) A Cultural Resources Management Framework (CRMF); iv) A Resettlement Policy Framework (RPF); (v) A Process Framework and vi) An Indigenous Peoples' Planning Framework (IPPF), complemented by an Indigenous Peoples Plan prepared at the time of the CAFI AF (and further updated for the GEF AF).

The Ministry of the Environment and Sustainable Development (MESD), which oversees implementation of the project, has prior experience with Bank's Safeguard Policies and a variety of safeguards instruments, including an Environmental and Social Management Framework that was finalized in 2009 in preparation for an investment project in the forestry sector. MESD was further responsible for the Strategic Environmental and Social Assessment (SESA), prepared as part of DRC's REDD+ readiness preparation process. A key aspect of the SESA process was the participatory and inclusive stakeholder consultation process that supported broad stakeholder involvement in the overall design of the REDD+ Strategy.

The capacity of the Government, and specifically of MESD, to address safeguard issues will be further strengthened during project implementation. The project has however already been under implementation for two years and safeguards implementation is Satisfactory. Dedicated safeguards specialists are part of the FIP-CU. Nevertheless, capacity levels at the Government level remain low and need continued strengthening.

5. Identify the key stakeholders and describe the mechanisms for consultation and disclosure on safeguard policies, with an emphasis on potentially affected people.

The Ministry of Environment and Sustainable Development (MESD), provinces, local communities and civil society are the key stakeholders of the project. The selected project activities are the result of a series of consultations and at national, provincial and local level. Additional stakeholders consulted include the international donor's community and likewise, international NGOs. The latest consultation with a wide range of stakeholders was held on November 15, 2018.

The results of the consultations are included in the safeguards instruments. Continued consultations at local



community level will take place during project implementation.
Key safeguards instruments have been summarized and translated into local languages and distributed to all stakeholders as part of the consultation and participation processes.

B. Disclosure Requirements (N.B. The sections below appear only if corresponding safeguard policy is triggered)

Environmental Assessment/Audit/Management Plan/Other

Date of receipt by the Bank 15-Mar-2014	Date of submission for disclosure 03-Apr-2014	For category A projects, date of distributing the Executive Summary of the EA to the Executive Directors
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"In country" Disclosure

Congo, Democratic Republic of
09-Apr-2014

Comments

The review of this Safeguards has been Deferred.

Comments

Resettlement Action Plan/Framework/Policy Process

Date of receipt by the Bank 15-Mar-2014	Date of submission for disclosure 03-Apr-2014
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"In country" Disclosure

Congo, Democratic Republic of
09-Apr-2014

Comments

The review of this Safeguards has been Deferred.

Comments



Indigenous Peoples Development Plan/Framework

Date of receipt by the Bank

05-Apr-2014

Date of submission for disclosure

09-Apr-2014

"In country" Disclosure

Congo, Democratic Republic of

09-Apr-2014

Comments

The review of this Safeguards has been Deferred.

Comments

Pest Management Plan

Was the document disclosed prior to appraisal?

Yes

Date of receipt by the Bank

15-Mar-2014

Date of submission for disclosure

03-Apr-2014

"In country" Disclosure

Congo, Democratic Republic of

09-Apr-2014

Comments

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:

The updated safeguard documents were locally disclosed and consulted on November 15, 2018 and are posted on the FIP web site.

The review of this Safeguards has been Deferred.

Comments



C. Compliance Monitoring Indicators at the Corporate Level (to be filled in when the ISDS is finalized by the project decision meeting) (N.B. The sections below appear only if corresponding safeguard policy is triggered)

OP/BP/GP 4.01 - Environment Assessment

Does the project require a stand-alone EA (including EMP) report?

No

OP/BP 4.04 - Natural Habitats

Would the project result in any significant conversion or degradation of critical natural habitats?

No

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?

NA

OP 4.09 - Pest Management

Does the EA adequately address the pest management issues?

Yes

Is a separate PMP required?

Yes

If yes, has the PMP been reviewed and approved by a safeguards specialist or PM? Are PMP requirements included in project design? If yes, does the project team include a Pest Management Specialist?

Yes

OP/BP 4.11 - Physical Cultural Resources

Does the EA include adequate measures related to cultural property?

Yes

Does the credit/loan incorporate mechanisms to mitigate the potential adverse impacts on cultural property?

Yes

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

If yes, then did the Regional unit responsible for safeguards or Practice Manager review the plan?

Yes

If the whole project is designed to benefit IP, has the design been reviewed and approved by the Regional Social Development Unit or Practice Manager?

Yes



OP/BP 4.12 - Involuntary Resettlement

Has a resettlement plan/abbreviated plan/policy framework/process framework (as appropriate) been prepared?

Yes

If yes, then did the Regional unit responsible for safeguards or Practice Manager review the plan?

Yes

Is physical displacement/relocation expected?

No

Is economic displacement expected? (loss of assets or access to assets that leads to loss of income sources or other means of livelihoods)

No

OP/BP 4.36 - Forests

Has the sector-wide analysis of policy and institutional issues and constraints been carried out?

Yes

Does the project design include satisfactory measures to overcome these constraints?

Yes

Does the project finance commercial harvesting, and if so, does it include provisions for certification system?

No

The World Bank Policy on Disclosure of Information

Have relevant safeguard policies documents been sent to the World Bank for disclosure?

Yes

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



All Safeguard Policies

Have satisfactory calendar, budget and clear institutional responsibilities been prepared for the implementation of measures related to safeguard policies?

Yes

Have costs related to safeguard policy measures been included in the project cost?

Yes

Does the Monitoring and Evaluation system of the project include the monitoring of safeguard impacts and measures related to safeguard policies?

Yes

Have satisfactory implementation arrangements been agreed with the borrower and the same been adequately reflected in the project legal documents?

Yes

CONTACT POINT

World Bank

Laurent Valiergue
Sr Forestry Spec.

Borrower/Client/Recipient

MINISTRY OF ENVIRONMENT, and SUSTAINABLE DEVELOPMENT
Benjamin Toirambe
General Secretary
toirambe2014@gmail.com

Implementing Agencies

Ministry of Environment, and Sustainable Development
Clement Vangu Lutete
FIP Coordinator
vangulutete@gmail.com



FOR MORE INFORMATION CONTACT

The World Bank
1818 H Street, NW
Washington, D.C. 20433
Telephone: (202) 473-1000
Web: <http://www.worldbank.org/projects>

APPROVAL

Task Team Leader(s):	Laurent Valiergue
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Approved By

Safeguards Advisor:	Maman-Sani Issa	13-Dec-2018
Practice Manager/Manager:	Africa Eshogba Olojoba	17-Dec-2018
Country Director:	Yisgedullish Amde	20-Feb-2019



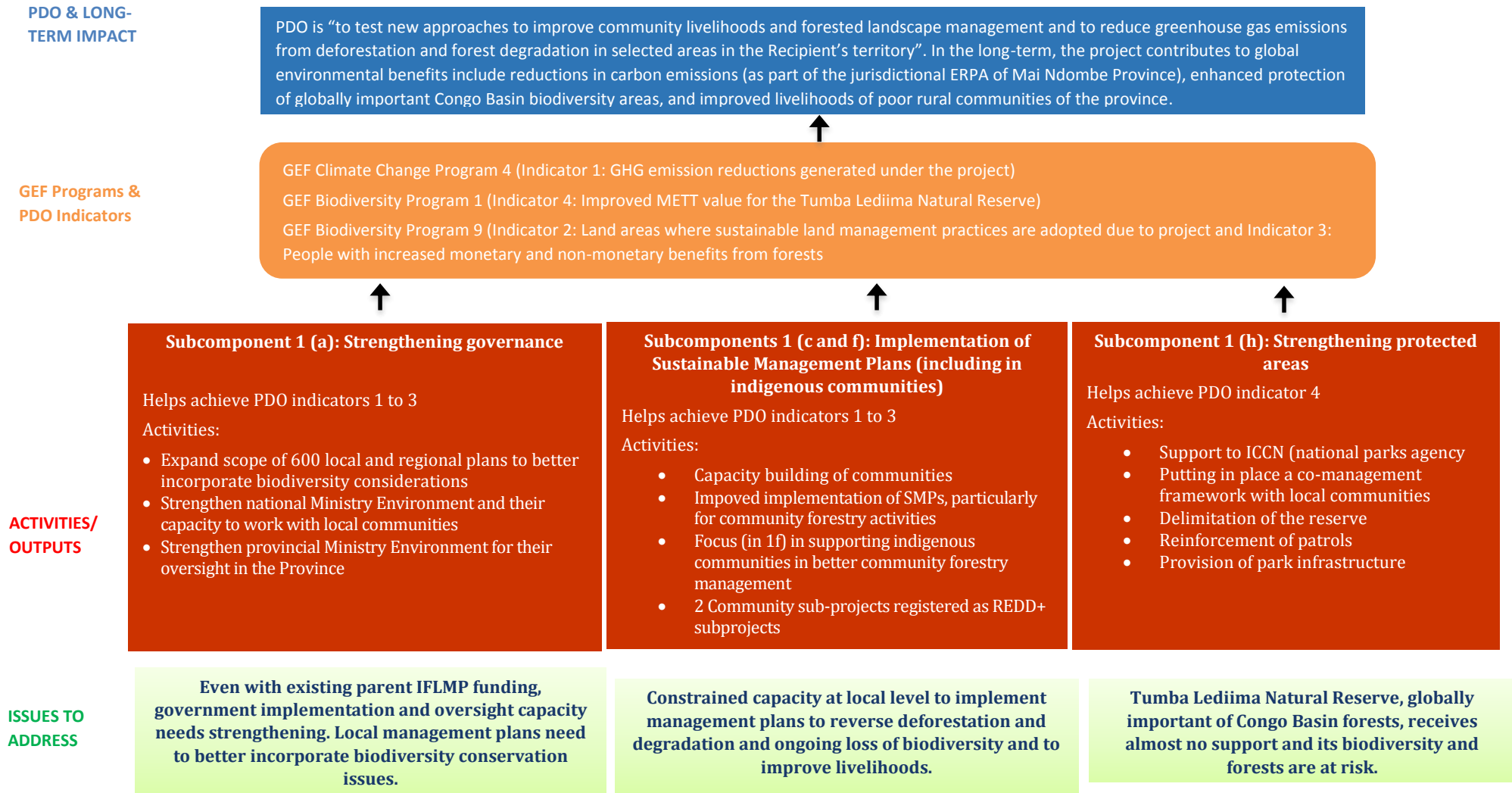
ADDITIONAL ANNEX 1 – GEF-SPECIFIC INFORMATION

Incremental Reasoning

- 1. The baseline scenario is constituted by a mix of investments in the Province of Mai Ndombe under the umbrella of a REDD+ program supported by the Forest Carbon Partnership Facility (FCPF).** The DRC recently submitted an Emission Reductions Program Document (ERPD) which was accepted by the FCPF in June 2016, the first country in the world to pass this milestone. The ERPD formed the foundation for the negotiation of an Emission Reductions Purchase Agreement (ERPA) with the FCPF, signed in September 2018 for \$55 million.
- 2. The ERPA builds on major investments over the last few years which have created the enabling conditions for the Province of Mai Ndombe** to reduce its carbon emissions as compared to the forest reference emission level. These investments include the FIP project as well as many other investments of other donors and the private sector. The IFLMP is expected to still be in implementation as the ERPA comes into effect and will help sustain the investments needed to ensure reductions in emissions.
- 3. Under the baseline scenario, there is some attention to biodiversity conservation but the focus of the REDD+ program is on changes in forestry and agricultural practices.** There is considerable focus on policy, planning and regulatory frameworks for emissions reductions and on adoption of practices to increase the area of production landscapes under sustainable management and which are contributing to lower-carbon development. However, the province is a large diverse area and the available resources are insufficient to completely meet these goals.
- 4. The project alternative proposed by this GEF AF brings incremental resources to Mai Ndombe Province to help:** i) provide additional resources to help reduce carbon emissions with a special focus on community-managed forestry; ii) ensure a better consideration of biodiversity conservation in the preparation and implementation of local management plans and in direct protection of a globally important natural reserve; iii) focus extra attention on working with indigenous peoples in the management of their own biodiversity/forest resources; and iv) apply incremental resources for the development of capacity at the policy and regulatory level both at the national and provincial level. For this reason, funding from the climate change and biodiversity operational focal areas is being requested for the GEF AF. Figure 1-1 on the following page presents the theory of change of the GEF funding, and how the different sub-components contribute both to the PDO and to the global environmental targets of the GEF. The theory of change focuses in on the new GEF AF and does not cover the entire IFLMP.



Figure 1-1. Theory of Change for the GEF-funded Additional Financing





5. **Global environmental benefits include an expected reduction in carbon emissions of the Mai Ndombe Province.** The DRC is the first country in the world to have submitted an ER Program Document (ERPD) to the FCPF and to have signed the corresponding ERPA. Additionally, the DRC submitted an Intended Nationally Determined Contribution (INDC) to the United Nations Framework Convention on Climate Change (UNFCCC) prior to COP21 in Paris. The document underscores the importance of agriculture, energy, and forests on the mitigation side. The GEF funding will contribute to the country's efforts to meet ambitious carbon emission reduction targets, both for the ERPA and for the INDC.

6. **The GEF funding supports Program 4 of the Climate Change Focal areas.** The project will help achieve two of the program's outcomes:
 - Outcome A (Accelerated adoption of innovative technologies and management practices for GHG emission reductions and carbon sequestration). The project will be working with local communities, including indigenous communities, in developing a minimum of two REDD+ subprojects to help ensure that future ERPA benefits and benefits from other REDD+ projects accrue directly to communities.
 - Outcome B (Policy, planning and regulatory frameworks foster accelerated low GHG development and emissions mitigation). Under Sub-component 1a, the project will invest significantly in improved governance of the Ministry of Environment (at both the national and provincial levels) to manage and oversee activities related to REDD+ in the province.

7. **For the biodiversity focal area, the project aligns with two GEF programs:** a) Program 1. Improving Financial Sustainability and Effective Management of the National Ecological Infrastructure; and b) Program 9. Managing the Human-Biodiversity Interface, by contributing to the following outcomes:
 - Outcome 1.2: Improved management effectiveness of protected areas. Specifically, the project will provide critical support to the Tumba Lediiima Natural Reserve, a globally important biodiversity area (see Annex 6) that has to date received virtually no funding from national or international sources.
 - Outcome 9.1: Increased area of production landscapes that integrate conservation and sustainable use of biodiversity into management. Under the sub-components that focus on preparation of local management plans (Subcomponent 1a) as well as their implementation (Subcomponents 1c and 1f), the focus of the GEF funding is on better incorporation of biodiversity conservation and forest management. GEF funds will contribute to the actual implementation of about 600 SMPs, with investments that ultimately will help local communities better manage and protect their natural resources. Four community-managed forests (as defined under the 2015 Community Forestry Law) will be directly supported.

8. **The project will also help the DRC meet its obligations under the Aichi Targets.** The project will contribute to achieving the five strategic goals, but the major focus will be to assist with Strategic Goal B ("Reduce the direct pressures on biodiversity and promote sustainable use") and Strategic Goal C



(“To improve the status of biodiversity by safeguarding ecosystems, species and genetic diversity”). The indicators of the FIP project will be modified during preparation of the GEF funding, and efforts will be made to ensure they can adequately measure contributions to the relative Aichi Targets.

BIODIVERSITY PROFILE OF TARGET AREA

9. According to the recent survey of protected areas in the DRC carried out by PARAP, Mai Ndombe Province includes six formally designated protected areas:
 - a) Tumba-Lediima Natural Reserve (TLNR) -- only a part of the Reserve is located within the province and it partially overlaps with a forestry concession;
 - b) Salonga National Park; occurs partially within the province;
 - c) Oshwe Hunting Reserve; it overlaps with forestry concessions and there currently is no presence of ICCN;
 - d) Hippopotamus Reserve on the Sankuru, Kasai, and Kwa Rivers where there is some ICCN presence;
 - e) Mangai Hippopotamus Reserve with no ICCN presence; and
 - f) Hippopotamus Reserve on the Kasai and Kwa Rivers with no permanent ICCN presence.

10. **Salonga NP is already benefiting from GEF funding through a project being implemented by WWF.** Supporting Oshwe Hunting Reserve is not appropriate for a project of short duration given that there is no presence of ICCN. The three hippopotamus reserves are not actively managed protected areas. ICCN has indicated that the highest priority in the province for investment support to protected areas is the Tumba-Lediima Natural Reserve (TLNR).

11. **A background study of Tumba Lediima Natural Reserve was published in 2016 by ICCN and WWF⁴.** The report provides a wealth of detail on the globally important biodiversity of the natural reserve. The Reserve was created in 2006 and covers a large area of 767,800 ha.

12. **The southern part of the TLNR is in the Central Congolian Lowland Forests Ecoregion and the northern half in the Eastern Congolian Swamp Forests Ecoregion** (Figure 1-1). Several savannah-forest matrix ecoregions occur just to the south of the reserve. For the globally significant Congo Basin forests of the western part of the DRC, TLNR is the second most important protected area, after Salonga National Park.

13. **Two principal types of forests occur in the Reserve** (Figure 1-2). The swamp forests of the northern part of the reserve (about one tenth of the reserve area) are periodically flooded forests typical of the Congo River floodplain. The rest of the reserve is composed of Guinean-Congolese rainforests, non-flooded semi-deciduous forests, with a discontinuous canopy, but extremely rich in species and distinctive from the more open savannah-forests mosaics which occur south of the Kasai River.

⁴ Revue des stratégies de conservation des valeurs naturelles de l'espace Tumba-Lediima. April 2016. Programme d'Appui au Réseau des Aires Protégées (PARAP) et l'Institut Congolais pour la Conservation de la Nature (ICCN) et Bureau du Fonds Mondial pour la Nature (WWF). 196 pages.



Figure 1-1. Ecoregions of the Tumba-Lediima Natural Reserve

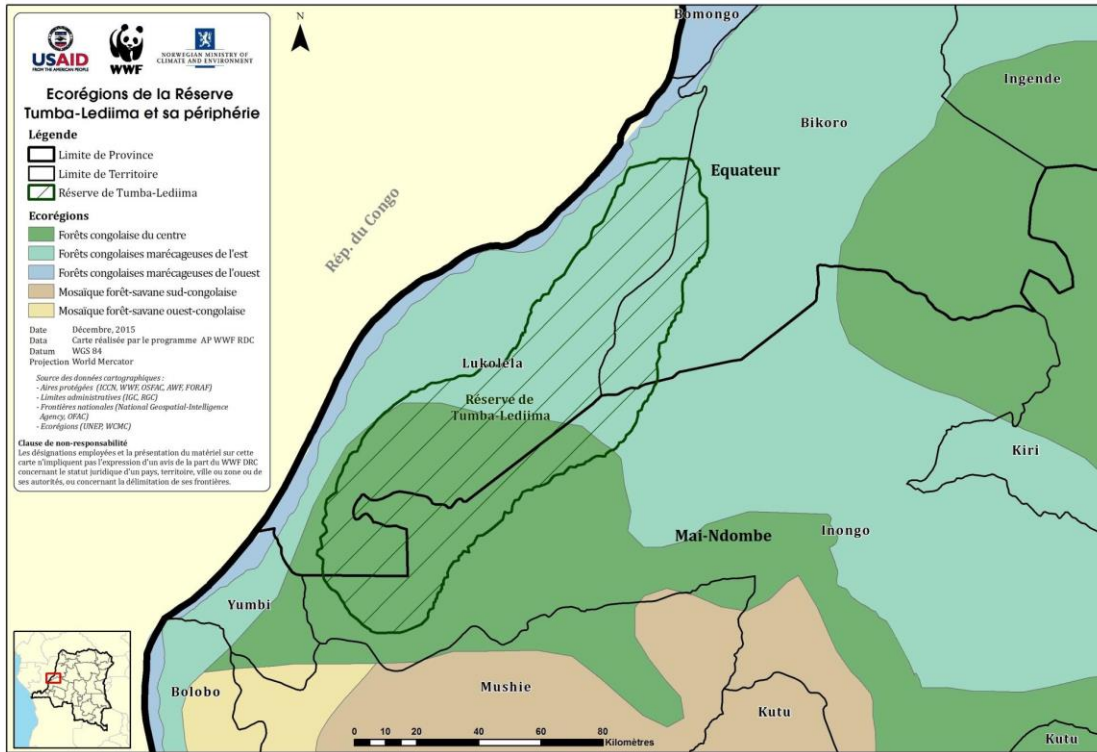
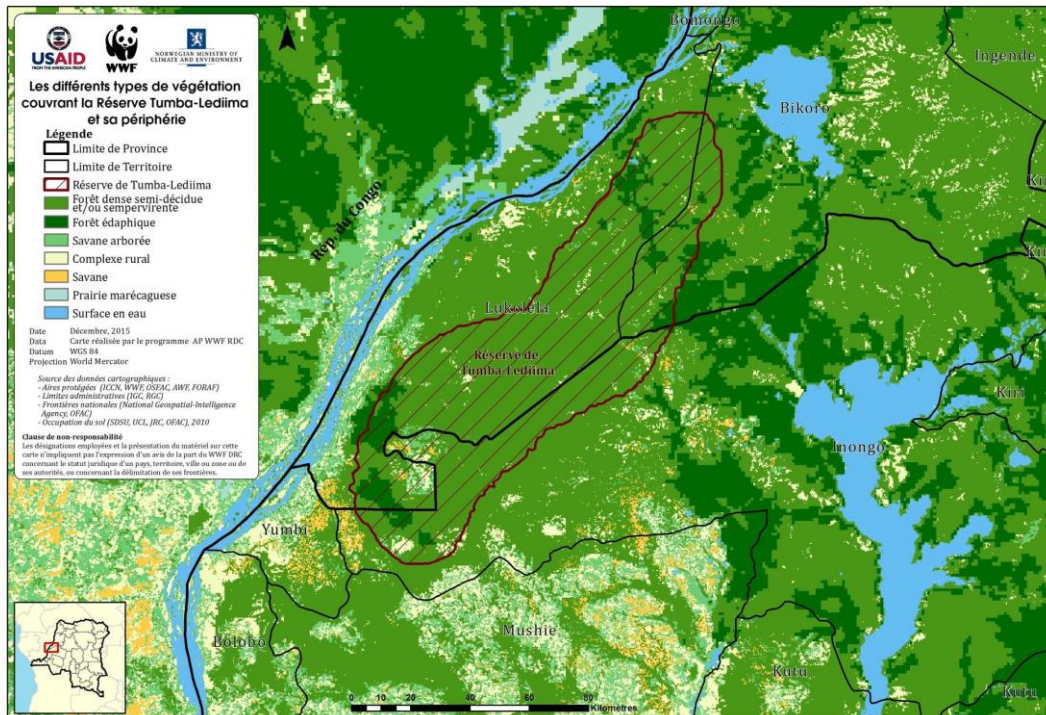


Figure 1-2. Vegetation types of the TNLR





14. **The forests of the Reserve (Figure 6-2) are substantially intact** with only small areas of deforestation evident in the southern part of the Reserve. There is however a significant human population in and adjacent to the Reserve and anthropic pressures are growing.

15. **Information on the mammals of the Reserve was obtained from a literature review and limited inventories in the field** carried out by the PARAP team. The Reserve hosts all of the larger mammal species typical of the forests of the Congo Basin forests. In particular, there is a healthy population of bonobos (*Pan paniscus*), endemic to the DRC and a IUCN Red-listed species (population estimated to be between 2000 and 3500). Other notable species observed in the Reserve include buffalo, bongo, sitatunga, hippopotamus, forest elephant (two small disjunct populations), many antelope species, three pangolin species, 13 species of primates, lions (no recent records after 2010), leopards, and three species of otters.

16. **The PARAP study inventoried 291 species of birds, a rich diversity** resulting from the high number of species characteristic of extensive Congolese forests as well as the presence of a rich range of habitats and microhabitats. Of note were 27 species of diurnal and nocturnal raptors and 9 species of kingfishers. Low numbers of the large hornbill species and other large species, suggests intense hunting pressure.