

**COMBINED PROJECT INFORMATION DOCUMENTS / INTEGRATED SAFEGUARDS DATA SHEET  
(PID/ISDS)**

**Appraisal Stage**

Report No.: 129762

**Date Prepared/Updated:** 31-Aug-2018

**I. BASIC INFORMATION**

**A. Basic Project Data**

<b>Country:</b>	Congo, Democratic Republic of	<b>Project ID:</b>	P160320
		<b>Parent Project ID:</b>	
<b>Project Name:</b>	Purchase / Sale of Emission Reductions (ER) to be generated under the Mai Ndombe ER Program (P160320)		
<b>Region:</b>	AFRICA		
<b>Estimated Appraisal Date:</b>	01-Sep-2017	<b>Estimated Board Date:</b>	24-Aug-2018
<b>Practice Area (Lead):</b>	Environment & Natural Resources	<b>Financing Instrument:</b>	
<b>Borrower(s)</b>	Ministry of Finance		
<b>Implementing Agency</b>	Province of Mai-Ndombe		
<b>Financing (in USD Million)</b>			
<b>Financing Source</b>		<b>Amount</b>	
Borrower		0.00	
Carbon Fund		55.00	
Financing Gap		0.00	
Total Project Cost		55.00	
<b>Environmental Category</b>	B-Partial Assessment		
<b>Appraisal Review Decision (from Decision Note)</b>			
<b>Other Decision</b>			
<b>Is this a Repeater project?</b>	No		
<b>Is this a Transferred project? (Will not be disclosed)</b>	No		

**B. Introduction and Context**

## Country Context

The Democratic Republic of Congo (DRC) is a country with huge development potential. It is the third most populous country in Africa with 78.7 million people, 57% of which live in rural areas and 77.1% below the poverty line by international standards. With 80 million hectares of arable land, abundant mineral resources and hydroelectric potential, the DRC has the potential to be an engine for Africa's economic growth. However, with a Gross National Income (GNI) per capita of US\$ 450 per year in 2017, DRC is among the Least Developed Countries in the world.

The country faces enormous challenges during the transition from a country at war toward sustainable development. Since 2001, the country has been gradually recovering from a conflict that began in 1996. While the return to peace has opened the way to political and institutional reforms, the country remains a fragile state, vulnerable to exogenous shocks and with huge needs for reconstruction and economic growth in the context of fiscal constraints and weak institutions. In 2017, the country was ranked the 7th most fragile among 178 countries according to the Fragile States Index.

Economic growth has been strong in the past few years but external headwinds and domestic difficulties are taking a toll on economic activities in the country. Real growth of Gross Domestic Product (GDP) accelerated at an annual average rate of 7.7% over 2010-15. This performance was underpinned by prudent macroeconomic policies and structural reforms. In 2016, economic growth slowed down (to 2.4%) because of the end of the commodity price super cycle (e.g. copper, cobalt, oil) and the economic slowdown in China, DRC's main trading partner. Growth started to bounce back in 2017 (to 3.4%) and is expected to grow at over 4.0% in 2018 but may not reach the levels observed in 2010-15 in the short term. Political instability and weak governance generally result in difficulty of doing business: In the 2016 Doing Business report, DRC ranked 184th out of 189 countries. The Logistics Performance Index, which indicates the country's friendliness for trade operators, placed DRC at rank 127 among 160 countries in 2016.

The political environment is expected to remain unstable at least until the end of 2018, due to the postponed presidential elections. Since September 2016, more than 70 people were killed in Kinshasa in relation to protests about the election process and many more opposition supporters were jailed, indicating the potential for more violence and political upheaval. Local and provincial elections that were planned for 2016 by the Independent National Election Commission were annulled due to lack of resources. The presidential elections, originally planned for November 2016, have been postponed until the end of December 2018. The agreement for a transitional period concluded in December 2016, mediated by the African Union and Congolese episcopate, failed in April 2017 when the President designated a new prime Minister. Since then, tensions in the country have risen with an increasing number of protests across the country. In addition, community-based violence and inter-ethnic clashes have spread from areas already affected by armed conflict, such as in North and South Kivu provinces, to Tanganyika, the three Kasai provinces and Kongo Central.

The ongoing decentralization process is causing tensions between central and provincial authorities. The 2006 Constitution ordained the reorganization of the country into 26 provinces (from the previous 11) and assigned important responsibilities to them. In return, provinces were entitled to 40% of the fiscal revenues collected by the national authorities. The actual creation of new provinces started in 2016. However, the decentralization process has been under-resourced and ill-prepared. Moreover, the provinces have weak institutional capacity. Provincial revenues have consistently been below the

constitutionally mandated share.

### **Sectoral and Institutional Context**

The DRC has the second largest extent of rainforest in the world. The country's 152 million hectares of forests (in 2015) account for most of the remaining rainforest in the Congo Basin and 67% of the national territory. This tremendous resource plays an important role for sustainable development. It serves as a basis for economic activity, livelihoods for the rural population, food security, energy consumption, and the provision of ecosystem services of global importance including carbon sequestration and biodiversity. Furthermore, the country ranks 5th in the world in terms of biological diversity and has five UNESCO World Heritage natural sites, more than the rest of Africa combined.

The country's forest plays an important role to address climate change globally. First, it is a huge carbon sink. Second, in 2013 DRC's total greenhouse gas (GHG) emissions amounted to 208 million tons of CO<sub>2</sub>eq; 81% of these emissions stemmed from land use change and forestry. While the deforestation rate of 0.3% between 1990 and 2010 is relatively low compared to the global average, it is the highest in the region and the country is among the top ten worldwide in terms of forest cover loss in absolute terms. As a country that is characterized by high forest cover and historically low deforestation rates (HFLD), the DRC is at a critical juncture. Deforestation rates are expected to increase due to: (i) rapid population growth, estimated to be 3% per year, which translates into increasing demand for agricultural land and energy; (ii) commercial agriculture and large-scale plantations; and (iii) large-scale development projects, which will lead to increased accessibility to forests, including for legal and illegal logging.

Cognizant of global challenges and long-term domestic interests, the country is committed to a green growth development pathway. In September 2010, the Government adopted the Economic Governance Matrix to improve governance including transparency, accountability, and effectiveness in the management of natural resources, particularly in the forestry, mining, and petroleum industries. The environment and combatting climate change was defined as one of four pillars in the Growth and Poverty Reduction Strategy Paper for 2011-2015 and is now a main theme in the draft National Development Plan. In 2015, the country signed the Central African Forest Initiative (CAFI) Joint Declaration with a commitment to seek "transformational change to reduce emissions from deforestation and forest degradation and contribute to sustainable development". In December 2017, it ratified the Paris Agreement. The DRC's Nationally Determined Contribution (NDC) to the United Nations Framework Convention on Climate Change (UNFCCC) highlights the role of the land sector in mitigating climate change, including reducing deforestation, increasing reforestation and improving agricultural practices.

Since 2008, the DRC has been demonstrating strong political commitment on REDD+ nationally as well as internationally in the context of the UNFCCC. The DRC established the national REDD+ infrastructure, led by the National REDD+ Coordination (CN-REDD), with support from the FCPF and the UN-REDD Programme. Significant progress in the preparation phase of REDD+ (phase 1: readiness) includes, among others: (i) national consensus on the drivers of deforestation and forest degradation in 2012; (ii) the adoption of the National REDD+ Strategy by the Council of Ministers in 2012; (iii) the establishment of the National REDD+ Fund (FONAREDD) and its initial capitalization based on a Letter of Intent (LoI) between the Government of DRC and CAFI signed in April 2016; (iv) the revision of the National REDD+ Investment Plan 2015-2020, which has become the basis for FONAREDD to allocate resources, and (v) the finalization of the REDD+ safeguard instruments, namely the Environmental and

Social Management Framework (ESMF) and five sub-frameworks, in 2015. In May 2015, the DRC became the first country to present its REDD+ Readiness-Package to the FCPF, which was endorsed by the FCPF Participants Committee. The country is now in the implementation phase of REDD+ (phase 2: investments) and piloting its first results-based REDD+ program in Mai-Ndombe (phase 3: results-based payments).

The integration of REDD+ reforms into the Economic Governance Matrix in 2013 demonstrates a high-level commitment by the Government to engage on key reforms. The matrix is tracked by the Technical Committee for Reform Monitoring and Evaluation (CTR) under the oversight of the Ministry of Finance. Relevant reforms for REDD+ include land tenure, land-use planning and REDD+ standards for the hydrocarbon and mining sectors. In 2015, DRC integrated pending action on the REDD+ related reforms in the National REDD+ Investment Plan and in the milestones defined in the Lol with CAFI. Thus, it can be said that the REDD+ process has functioned as an important locus for policy dialogue.

The implementation of the National REDD+ Investment Plan is coordinated by FONAREDD. The two main funding sources are the Forest Investment Program (FIP, US\$ 60 million) and CAFI (US\$ 200 million). The FIP is composed of two projects: i) the Improved Forested Landscape Management Project (World Bank, US\$ 37.7 million), and ii) the Integrated REDD+ Project in the Mbuji-Mayi/Kananga and Kisangani Basins (African Development Bank, US\$ 22.3 million). The following programs have been approved for funding from CAFI to support the national REDD+ approach: (i) National Forest Monitoring System (NFMS) implemented by the United Nations Food and Agriculture Organization (FAO, US\$ 10 million); (ii) civil society implemented by the United Nations Development Programme (UNDP, US\$ 2 million); (iii) Indigenous Peoples (IPs) through the World Bank (US\$ 2 million); (iv) land tenure reform (UN Habitat, US\$ 3 million); (v) land use planning (UNDP, US\$ 4 million); and (vi) FONAREDD Secretariat (UNDP, US\$ 6.75 million). More projects will be submitted, by the World Bank and other agencies, for consideration by the FONAREDD. The readiness phase as well as the collective investment support through the FIP and CAFI have been important to improve the enabling environment for REDD+ implementation to the benefit of DRC's people.

The DRC has selected the Mai-Ndombe province to pilot results-based payments for REDD+ at large scale. The province covers an area of 12.3 million hectares, out of which 9.8 million hectares are forests. The most recent analysis of forest cover change in Mai-Ndombe indicates a deforestation rate of 0.67% per year and a degradation rate of 0.65% per year for the period 2004-2014. These rates are expected to increase in the future unless deliberate measures are adopted. The direct drivers of deforestation and forest degradation mirror those identified at the national level: slash-and burn agriculture, fuelwood production, uncontrolled bush fires, small-scale or artisanal logging and industrial logging. The underlying causes for these drivers are population growth, poverty, the absence of economic and technical alternatives, poor management of natural resources, and unregulated land tenure. The pressure on the forest in Mai-Ndombe is high because of the increasing demand for agricultural and wood products in Kinshasa. The DRC chose the Mai-Ndombe province to pilot results-based payments for REDD+ because it is a hotspot of deforestation in the country and the ER Program is fully aligned with the seven thematic pillars of the National REDD+ Strategy.

In April 2014, the country was one of the first to submit an Emission Reductions Program Idea Note and be selected into the pipeline of the FCPF Carbon Fund. Subsequently, the World Bank signed a Lol with the Government of DRC for the purchase of up to 10 million tons CO<sub>2</sub>eq from the Mai-Ndombe Emission Reductions Program (Mai-Ndombe ER Program). The Mai-Ndombe Emission Reductions

Program Document (ERPD) has been developed over a period of two years in close and frequent consultation with local, national and international stakeholders, including civil society and IPs. In December 2016, the Mai-Ndombe ER Program became the first one to be selected into the portfolio of the FCPF Carbon Fund. The ERPD is available on the FCPF website.

Finally, supporting the Mai-Ndombe ER Program allows the World Bank to translate its programmatic approach to forests as laid out in the Forest Action Plan (FAP) into practice. Building on readiness support at the national level through the FCPF Readiness Fund (US\$ 8.8 million), the ER Program strategically bundles up-front investments from the FIP, CAFI and Global Environment Facility (GEF), amounting to more than US\$ 50 million in the ER Program area, as well as the proposed performance-based payments from the FCPF Carbon Fund (US\$ 55 million) to support DRC's efforts to address deforestation through the REDD+ mechanism in a coordinated and systematic manner. In addition, the World Bank also aligns International Development Association (IDA) funded projects in other sectors, notably on public administration and health, to support the provincial approach in Mai-Ndombe.

The scope of the project covered in this PAD is the carbon finance transaction. The project concerns the results-based payments component of the Mai-Ndombe ER Program. The World Bank, as the Trustee of the FCPF Carbon Fund, will pay for GHG Emission Reductions (ERs) resulting from the implementation of the Mai-Ndombe ER Program. The ERPA General Conditions are non-negotiable and available on the FCPF website. The ERPA Commercial Terms of the carbon finance transaction are negotiable.

### **C. Proposed Development Objective(s)**

#### **Development Objective(s)**

The Project Development Objective is to make payments to the Recipient for measured, reported and verified Emission Reductions related to reduced deforestation, forest degradation and the enhancement of forest carbon stocks (ER payments) in the Mai-Ndombe province, and to distribute ER payments in accordance with the agreed Benefit Sharing Plan.

#### **Key Results**

Volume of ERs measured and reported by the Recipient, verified by an independent reviewer, and transferred to the FCPF Carbon Fund:

11,000,000 tCO<sub>2</sub>eq. over a five-year period.

Payments received by the Recipient from the FCPF Carbon Fund for ERs generated by the ER Program: US\$55,000,000 received by the Recipient over a five-year period.

Distribution of ER Payments properly handled in accordance with the Benefit Sharing Plan.

### **D. Project Description**

The Mai-Ndombe ER Program is the first jurisdictional REDD+ program for results-based payments at large scale in DRC and the Congo Basin and among the first ones in Africa. 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 scope of this project is the carbon finance transaction, which is one aspect of the broader Mai-Ndombe ER Program. The project concerns the payments for verified ERs resulting from activities implemented under the program. Other projects of the program include, for example, investment projects, such as the FIP, to support ER Program implementation.

In order to address the drivers of deforestation and forest degradation and generate ERs, the ER Program's intervention strategy is three-fold: (i) re-orienting agricultural production on forest land towards practices that are less land-consuming than slash-and-burn farming, such as perennial crops and agroforestry; (ii) providing incentives for the conservation and sustainable management of forests through REDD+, and (iii) supplying the demand for wood products from the province-city of Kinshasa through reforestation and regeneration activities on savannah lands. More specifically, the ER Program will implement a balanced combination of enabling and sectoral activities.

Enabling activities aim at creating favorable conditions and addressing underlying causes of deforestation and forest degradation, which are critical for the project's success. While measures to address the underlying causes of deforestation and forest degradation, such as population growth, are more complex and do not translate directly into ERs, they are crucially important to achieve the intended paradigm shift towards forest-smart development at jurisdictional scale. The ER Program contains four pillars of enabling activities:

(a) Land use planning, land tenure and governance: developing a participatory framework for the sustainable management of natural resources, establishing Local Development Committees (LDCs), developing simple management plans (SMP) and sustainable development plans (SDP) for strategic investments at all levels (province, territories, communes), clarifying land tenure through participatory planning methods, and promoting coordination across sectors;

(b) Capacity building: Strengthening institutional and technical capacities of decentralized state services and local institutions, in particular LDCs and Agricultural and Rural Management Councils (CARTs), building capacities of the central government to manage natural resources transparently, and improving capacities of governmental agencies to control forestry and charcoal-making;

(c) Enabling conditions for alternative (forest-smart) economic activities: developing new agricultural value chains for perennial crops, intended to substitute slash-and-burn farming, facilitating producers' access to markets, improving local infrastructure and connectivity, and strengthening forest law enforcement;

(d) Demography: Supporting family planning through the provision of information, awareness raising and access to means of birth control, and promoting youth education programs.

Sectoral activities address the direct causes of deforestation and forest degradation and aim at developing alternative economic activities in the following three sectors:

(e) Agriculture: Promoting agroforestry on savannah lands, and improving cultivation techniques and pasture management, developing perennial crops (coffee, cocoa, palm oil and rubber) in forested landscapes as an alternative to slash-and-burn agriculture;

(f) Forestry: Establishing PES schemes related to forest protection, supporting community forestry, promoting conservation concessions and reduced impact logging in forest concessions, enhancing afforestation/reforestation for timber production, and supporting the management of protected areas;

(g) Energy: Developing assisted natural regeneration as well as afforestation/reforestation for charcoal production, establishing sustainable business lines for biomass energy supply, and expanding the dissemination of more efficient and cleaner cook stoves.

The implementation of a substantial part of these enabling and sectoral activities is secured through a number of investment projects in the ER Program area.

The ERs will be verified against a reference level, which is estimated at 48 million tons CO<sub>2</sub>eq per year for the reference period 2004-2014. The implementation of ER Program activities is expected to generate 40.3 million tons CO<sub>2</sub>eq over five years (gross). The number of ERs for purchase by the FCPF Carbon Fund as derived from the negotiations is 11 million tons CO<sub>2</sub>eq.

The project itself has two components related to the use of the ERPA payments in accordance with the BSP. The first component comprises the fixed costs of running the ER Program and variable costs, which are independent of performance. Component two is the implementation of the BSP to distribute payments against performance, i.e. ERs against an agreed reference level for ER Program stakeholders.

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

The jurisdictional program covers the entire province of Mai-Ndombe. A full description of the province's physical characteristics pertinent to an emissions reduction program can be found in the Emissions Reduction Program Document (ERPD). Of note is the considerable extent of forests (covering about three quarters of the province) raising issues related to natural habitats, and management of forests. The presence of pygmy populations in the province triggers the Bank's indigenous people's policy.

#### **F. Environmental and Social Safeguards Specialists**

Douglas J. Graham (GEN07)

Richard Everett (GSU01)

## **II. IMPLEMENTATION**

The ER Program is embedded into DRC's national REDD+ approach. At the national level, the Steering Committee of the National REDD+ Fund (COFIL) will have an oversight function for the project to ensure alignment with the national REDD+ strategy. In addition, the project will coordinate closely with the FONAREDD Executive Secretariat, which is responsible for the management of the national REDD+ tools.

The signatory of the ERPA will be the Ministry of Finance. At the provincial level, the project's governing

body will be the Joint Provincial Steering Committee for the Forest Investment Program and the ER Program. It will provide strategic guidance and policy coordination for the ER Program and approval of ER Program.

A Program Management Unit (PMU) will assist the provincial government in the day-to-day management of the ER Program. Main functions include, among others, the administrative management of the project, promotion of increased ER Program implementation, monitoring of the proper implementation of the BSP and fulfillment of the project’s monitoring and reporting requirements.

### III. SAFEGUARD POLICIES THAT MIGHT APPLY

Safeguard Policies	Triggered?	Explanation (Optional)
Environmental Assessment OP/BP 4.01	Yes	The investments and activities that will lead to emissions reductions payments are not themselves included under this project and only some are known at this time. This project will help ensure adequate frameworks and approaches are in place in the province to ensure compliance of the underlying projects of the overall ER Program with international and Bank requirements on safeguards. An Environmental and Social Management Framework (ESMF) is a core document that will provide guidance on managing environmental and social risks. The ESMF for the National REDD+ Strategy has been prepared, reviewed, consulted upon, and disclosed within the country and in the Infoshop (25 August 2015 - Report number: E4838 - Document date: August 2014) of the World Bank (under the previous FCPF project preparatory to the current project). In addition to the ESMF, the following documents were prepared and approved during the FCPF project: a Strategic Environmental and Social Assessment (SESA disclosed in the Infoshop on 25 August 2015 - Report number: E4838 - Document date: January 2015), a Resettlement Policy Framework (RPF), and Indigenous Peoples Framework (IPF), and an Integrated Pest Management Framework (IPMF). A Safeguards Information System (SIS) is currently under preparation with technical assistance from the European Union; it will be incorporated into the National REDD+

		Registry.
Natural Habitats OP/BP 4.04	Yes	Investments leading to emissions reduction payments will take place in natural habitats, but will not include activities that involve significant conversion or degradation of natural habitats. Instead, the needed activities will be designed to reduce pressures on natural habitats and improve their conservation. Potential impacts and proposed enhancement/mitigation measures are included in the ESMF.
Forests OP/BP 4.36	Yes	The investments leading to emissions reductions payments will take place in forested areas, but will not involve conversion or degradation of critical forest areas. Some activities will however finance agroforestry or forest management and support plantations in previously converted and degraded areas. Potential impacts and proposed enhancement/mitigation measures are included in the ESMF. Forest management plans may also be prepared during implementation of associated projects.
Pest Management OP 4.09	Yes	The investments leading to emissions reductions payments will support intensification of agriculture and agroforestry activities developed by communities, private sector companies, local NGOs and farmer organizations. Activities may thus require pest management activities. An Integrated Pest Management Framework (IPMP) has been prepared as one of the national REDD+ instruments to ensure that environmentally friendly methods for pest control are applied, such as biological control, cultural practices, and the development and use of varieties that are pest and disease resistant or tolerant. It also provides guidance on the safe selection, handling and disposal of pesticides. The framework has been reviewed and disclosed publicly in the country and at the Infoshop (25 August 2015 - Report number: E4838 - Document date: May 2014).
Physical Cultural Resources OP/BP 4.11	Yes	The investments leading to emissions reductions payments might be located in, or in vicinity of, physical cultural resources,

		<p>notably sacred sites of local communities. Chance find procedures along with guidance on sensitization are included in the ESMF. In addition, a Cultural Heritage Protection Framework has therefore also been developed at the National REDD+ level (disclosed in the Infoshop on August 25, 2015 - Report number: E4838 - Document date: June 2014) .</p>
Indigenous Peoples OP/BP 4.10	Yes	<p>An Indigenous Peoples Planning Framework for the National REDD+ Strategy has been prepared, consulted and disclosed (in the Infoshop on August 25, 2015 - Report number: IPP790 - Document date: December 2014) considering that some investments leading to emissions reductions payments could impact on indigenous peoples' lands and livelihoods. Specific Indigenous Peoples Development Plans (IPDPs) would be prepared and implemented, as required under individual projects. The Bank's FIP project prepared and disclosed an IPDP.</p>
Involuntary Resettlement OP/BP 4.12	Yes	<p>The investments leading to emissions reductions payments are unlikely to lead to involuntary resettlement but the suite of National REDD+ frameworks includes an Involuntary Resettlement Framework (disclosed in the Infoshop on August 25, 2015 - Report number: RP1799 - Document date: April 2015). Some activities associated with emissions reductions payments may reduce the access to natural resources for some households, such as measures to strengthen conservation areas. A Process Framework has therefore also been developed at the National REDD+ level (disclosed in the Infoshop on August 25, 2015 - Report number: E4838 - Document date: August 2014) .</p>
Safety of Dams OP/BP 4.37	No	<p>Neither the project nor related investments will involve construction of dams and so this policy is not triggered.</p>
Projects on International Waterways OP/BP 7.50	No	<p>Neither the project nor related investments will be located on international waterways so this policy is not triggered.</p>

Projects in Disputed Areas OP/BP 7.60	No	Neither the project nor related investments will be located in disputed areas so this policy is not triggered.
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#### IV. Key Safeguard Policy Issues and Their Management

##### A. Summary of Key Safeguard Issues

<p><b>1. Describe any safeguard issues and impacts associated with the proposed project. Identify and describe any potential large scale, significant and/or irreversible impacts:</b></p>
<p>Although seven safeguards policies have been triggered for the project, reflecting potential impacts of the underlying investments, the expected potential negative environmental and social impacts of activities are minimal and mitigable. Indeed, underlying investments will build on project activities (developed under the Forest Investment Program - P128887, and/or its additional financing under the Central African Forest Initiative - P162837) that aim to reduce pressure on native forests, while increasing livelihoods of rural communities through the development of innovative agricultural practices on degraded lands.</p>
<p><b>2. Describe any potential indirect and/or long-term impacts due to anticipated future activities in the project area:</b></p>
<p>No long-term adverse impacts were identified during the development of the safeguards instruments.</p>
<p><b>3. Describe any project alternatives (if relevant) considered to help avoid or minimize adverse impacts.</b></p>
<p>Not applicable</p>
<p><b>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.</b></p>
<p>The project is an EA category "B" project, and triggers seven safeguards policies which are OP/BP 4.01, OP/BP 4.04, OP/BP4.37, OP4.09, OP/BP4.11, OP/BP4.10, and OP/PB 4.12. Considering that the locations of underlying investments are not yet precisely known, the Recipient developed six (06) environmental and social safeguards instruments, namely an Environmental and Social Management Framework (ESMF), an Integrated Pest Management Plan (IPMP), a Physical Cultural Resources Management Framework (PCRMF), an Indigenous People Planning Framework (IPPF), a Resettlement Policy Framework (RPF), and a Process Framework (PF), all of them disclosed in the Infoshop on 25 August 2015. The Government has adopted National REDD+ Safeguards Standards, which include the ESMF and the above frameworks.</p> <p>The DRC has been developing for many years' institutional capacity for safeguards policies in various sectoral ministries. The Ministry of Environment, and Sustainable Development (the project's host ministry) benefits from a dedicated body, the Congolese Environment Agency (CEA), to oversee the national environmental safeguards policies implementation. The CEA cleared the safeguards instruments of the FIP (ESMF, IPMP, PCRMF, IPPF, RPF, and PF) on behalf of the Government of DRC.</p> <p>A Program Management Unit will assist the provincial government in the day-to-day management of the Emission Reductions Program. Main functions include, among others, the monitoring of the</p>

proper implementation of the Benefit Sharing Plan, including safeguards implementation, and fulfillment of the project's monitoring and reporting requirements. FONAREDD will also have two safeguard specialists in their team to ensure implementation of national REDD+ safeguards standards.

Nevertheless, capacity constraints are expected at all levels, at FONAREDD, the PMU, and at the provincial level. Significant capacity building will be needed; this will be financed in large measure under the forthcoming REDD+ Forest Governance Project, to be financed by CAFI.

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

During the preparation of the Project, consultations were organized by the MESD with all the stakeholders likely to be impacted by the project (provincial representatives, NGOs, local communities, private sector, and local authorities including customary authorities). Project objectives and modalities of implementation were presented and discussed extensively, including safeguard policies. Comments provided by the stakeholders were taken into account in the final versions of the safeguard instruments. Full details of the consultations are included in the ESMF and in the specific frameworks.

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

<b>Environmental Assessment/Audit/Management Plan/Other</b>	
Date of receipt by the Bank	06-Jan-2015
Date of submission to InfoShop	25-Aug-2015
For category A projects, date of distributing the Executive Summary of the EA to the Executive Directors	
"In country" Disclosure	
<b>Resettlement Action Plan/Framework/Policy Process</b>	
Date of receipt by the Bank	13-Apr-2015
Date of submission to InfoShop	25-Aug-2015
"In country" Disclosure	
<b>Indigenous Peoples Development Plan/Framework</b>	
Date of receipt by the Bank	06-Jan-2015
Date of submission to InfoShop	25-Aug-2015
"In country" Disclosure	
<b>Pest Management Plan</b>	
Was the document disclosed prior to appraisal?	Yes
Date of receipt by the Bank	12-May-2014
Date of submission to InfoShop	25-Aug-2015
"In country" Disclosure	

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 (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)**

<b>OP/BP/GP 4.01 - Environment Assessment</b>						
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"/>
<b>OP/BP 4.04 - Natural Habitats</b>						
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 checked="" type="checkbox"/>	No	<input type="checkbox"/>	NA	<input type="checkbox"/>
<b>OP 4.09 - Pest Management</b>						
Does the EA adequately address the pest management issues?	Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>	NA	<input type="checkbox"/>
Is a separate PMP required?	Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>	NA	<input type="checkbox"/>
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	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>	NA	<input type="checkbox"/>
<b>OP/BP 4.11 - Physical Cultural Resources</b>						
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 checked="" type="checkbox"/>	No	<input type="checkbox"/>	NA	<input type="checkbox"/>
<b>OP/BP 4.10 - Indigenous Peoples</b>						

Has a separate Indigenous Peoples Plan/Planning Framework (as appropriate) been prepared in consultation with affected Indigenous Peoples?	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"/>
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	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>	NA	<input type="checkbox"/>
<b>OP/BP 4.12 - Involuntary Resettlement</b>						
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 checked="" type="checkbox"/>	TBD	<input type="checkbox"/>
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 checked="" type="checkbox"/>	TBD	<input type="checkbox"/>
<b>OP/BP 4.36 - Forests</b>						
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"/>
<b>The World Bank Policy on Disclosure of Information</b>						
Have relevant safeguard policies documents been sent to the World Bank's Infoshop?	Yes	<input checked="" type="checkbox"/>	No	<input 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 checked="" type="checkbox"/>	No	<input type="checkbox"/>	NA	<input type="checkbox"/>
<b>All Safeguard Policies</b>						
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"/>

## V. Contact point

### World Bank

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### Borrower/Client/Recipient

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## VI. For more information contact:

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## VII. Approval

Task Team Leader(s):	Name: Laurent Valiergue	
<i>Approved by:</i>		
Safeguards Advisor:	Name: Maman-Sani Issa	Date: 15-Jul-2018
Practice Manager:	Name: Benoit Bosquet	Date: 19-Jul-2018
Country Director:	Name: Yisgedullish Amde	Date: 31-Aug-2018