

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

**Additional Financing**

Report No.: PIDISDS TBD

Date Prepared/Updated: 26-Feb-2017

**I. BASIC INFORMATION**

**A. Basic Project Data**

<b>Country:</b>	Congo, Democratic Republic of	<b>Project ID:</b>	P160182
		<b>Parent Project ID :</b>	P128887
<b>Project Name:</b>	Mai-Ndombe REDD+ Integrated Project (GEF) (P160182)		
<b>Parent Project Name:</b>	DRC Improved Forested Landscape Management Project (P128887)		
<b>Region:</b>	AFRICA		
<b>Estimated Appraisal Date:</b>	15-Oct-2017	<b>Estimated Board Date:</b>	30-Jan-2018
<b>Practice Area (Lead):</b>	Environment & Natural Resources	<b>Lending Instrument:</b>	Investment Project Financing
<b>Borrower(s)</b>	Ministry of Environment, Conservation, and Sustainable Development		
<b>Implementing Agency</b>	FIP Coordination Unit		
<b>Financing (in USD Million)</b>			
	<b>Financing Source</b>		<b>Amount</b>
	GEF		6.2
	Financing Gap		0.00
	Total Project Cost		6.2
<b>Environmental Category</b>			
<b>Decision</b>			
<b>Other Decision (as needed)</b>			
<b>Is this a Repeater project?</b>	No		
<b>Is this a Transferred project? (Will not be disclosed)</b>	No		

## **B. Background to the Operational Financing**

1. The World Bank seeks to move forward with the preparation of a second Additional Financing (AF) operation of US\$6.2 million from the Global Environment Facility (GEF) to the DRC Improved Forested Landscape Management Project (IFLMP, P128887). This AF complements the first AF of US\$18.22 million that is currently in preparation, to be financed by the Central African Forest Initiative (CAFI), but which for processing reasons was prepared as an earlier operation (P162837). For simplicity, the two additional financing operations are referred to as the CAFI AF and the GEF AF. Together the two AFs seek to build on an integrated REDD+ approach successfully piloted in Mai Ndombe Province's Plateau District (Component 1 of the IFLMP) by scaling it up to the entire Mai Ndombe province to improve community livelihoods and forest management, and to reduce greenhouse gas emissions from deforestation and forest degradation. The GEF AF primarily adds incremental resources to the activities programmed under the CAFI AF but includes some additional activities consistent with GEF objectives.

2. The Democratic Republic of Congo's Province of Mai Ndombe comprises two districts covering a total land area of 131,393 km<sup>2</sup>: 99,641 km<sup>2</sup> in Plateau District, and 31,751 km<sup>2</sup> in Mai Ndombe District, a considerable share of which is forested (92% in 2012). These are non-flooded and flooded primary rainforests and non-flooded secondary forests. The biodiversity of these forests is remarkable, with considerable plant diversity and large protected mammals such as elephants, hippopotamus, buffalo, bonobos, and leopards. Between 2000 and 2012, the forests of the province lost 2,702 km<sup>2</sup>, or nearly 7 million tons of CO<sub>2</sub> per year. Of this, 56 percent occurred in Mai Ndombe District. The drivers of this destruction have been identified as: (i) slash-and-burn agriculture, which consumes at least 130,000 hectares of secondary forest each year (including fallow land) and fells 20,000 hectares of new primary forest each year, a rate that matches the 3 percent population growth rate; (ii) charcoal production, massive amounts of which are transported from Mai Ndombe Province to supply the greater Kinshasa area; and (iii) the legal and illegal exploitation of forests for lumber.

## **C. Rationale for the Additional Financing**

3. The two AFs will serve as a catalytic investment to complement the Emission Reductions Program (ER Program) in Mai Ndombe Province, which has been selected into the portfolio of the Carbon Fund of the Forest Carbon Partnership Facility (FCPF). This programmatic approach of aligning different financial instruments is key to consolidating changes in agricultural practices and forest management while lowering transaction costs, with the dual goal of reducing poverty and protecting biodiversity as well as reducing GHG emissions. The proposed GEF AF seeks to scale up the initial investments currently under implementation in the Plateau District under the parent project and complement those to be financed by the CAFI AF, extending the project to the entire province. As a result, the ER Program will have the investments it needs to reach its goals within its lead time (2017-2025)<sup>1</sup> and with reduced recurrent investment, training and operating costs.

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<sup>1</sup> The ER Program, which aims at reducing emissions from deforestation and forest degradation, is likely to generate over a five year period (2017-2021) 24 million emission reductions (measured in tons of CO<sub>2</sub> equivalent), half of

4. The proposed GEF AF in tandem with the CAFI AF will implement a coherent and coordinated territorial approach to combat deforestation and forest degradation by involving: (i) local authorities (Local Development Committees—CLDs<sup>2</sup>, and Rural Management Councils—CARTs<sup>3</sup>) with enhanced powers to support land-use planning exercises at the village level; and (ii) trained and motivated decentralized administrations to monitor and support community forest management. Support will be provided for the development of 600 management plans (number to be confirmed during preparation) at the CLD level in the Mai Ndombe District, as well as for their implementation through investments financed by the AFs, including the creation of community-managed forests.

5. Given that such activities represent a natural continuation and expansion of the parent project's activities, additional financing seems the most appropriate option to maximize development outcomes, as was the case with the CAFI AF. The responsible agency, the Ministry of Environment, Conservation and Sustainable Development (MECNDD<sup>4</sup>), has demonstrated strong commitment and has proven to be a competent counterpart 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 expected to the project's results framework to take into account the scaled-up scope. These will be confirmed during preparation. Also during preparation the impact of the additional financing on the overall project's economic viability and on implementation arrangements will be considered.

#### **D. Project Performance Record**

6. The parent project is funded by a US\$36.9 million grant from the Forest Investment Program (FIP). It was approved on June 24, 2014, became effective on April 29, 2015 and is scheduled to close on June 30, 2020. The CAFI AF included a proposal to extend the closing date of the parent project until December 31, 2022. The GEF AF will have the same December 31, 2022 closing date. The PDO of the parent project, which remains unchanged for the AFs, 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 components of the parent project are (i) Integrated REDD+ Sub-Project in the Plateau District (PIREDD Plateau); (ii) Facilitation of Private Sector Activities to Reduce Fuel Wood emissions; (iii) Promotion of small-scale agroforestry systems to reduce land-use emissions; and (iv) Project Management and Lessons Learned. The CAFI AF funding is entirely applied to component (i) but expands its coverage to the Mai Ndombe District.

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which might be acquired by the World Bank, acting as the trustee of the Carbon Fund of the Forest Carbon Partnership Facility. This sale/purchase of emission reductions will be materialized in an Emission Reductions Payment Agreement (ERPA) tentatively to be signed with the DRC in June 2017, and amounting to US\$60 million.

<sup>2</sup> Comité local de développement (CLD).

<sup>3</sup> Conseil Agricole Rural de Territoire (CART).

<sup>4</sup> Ministère de l'Environnement, de la Conservation de la Nature et Développement Durable.

7. The parent FIP project is completing its second year of implementation and is considered Satisfactory in both development objective as well as implementation progress. Overall safeguards rating is also Satisfactory (

8. Table I). Disbursements stand at 30.79%<sup>5</sup> percent (US\$11.36 million), above the original and formally revised estimates for the quarter. There are no major fiduciary issues or outstanding audits. All legal covenants are being substantially met.

**Table 1. Project Performance**

	Implementation				Latest ISR
	29 Nov. 2014	23 May 2015	08 Dec. 2015	12 June 2016	13 Dec. 2016
<b>Key Project Ratings</b>					
Progress towards achievement of PDO	S	S	S	S	S
Overall Implementation Progress	S	S	S	S	S
<b>Other Project Ratings</b>					
Financial Management	S	S	MS	MS	MS
Project Management	S	S	S	S	S
Procurement	S	S	S	S	S
Monitoring and Evaluation	S	S	MS	MS	S
<b>Safeguards</b>					
Overall Safeguards Rating			MS	MS	S
Environmental Assessment (OP / BP 4.01)			MS	MS	S
Natural Habitats (OP / BP 4.04)			S	S	S
Forests (OP / BP 4.36)			S	S	S
Forest Management (OP/BP 4.09)			S	S	S
Physical Cultural Resources (OP/BP 4.11)			S	S	S
Indigenous Peoples (OP/BP 4.10)			S	S	S
Voluntary Resettlement (OP / BP 4.12)			MS	MS	S

9. *Status of the Integrated REDD+ Sub-Project in the Plateau District (PIREDD Plateau).* This component is implemented by WWF acting as a Local Implementing Agency—ALE<sup>6</sup>, under a contract that was signed on December 24, 2015. Implementation is progressing well, which is of critical importance to the proposed AF, as the working methodology used by WWF in the Plateau District will be the one that will be applied to the Mai Ndombe District under the proposed AFs.

10. *Status of the First Additional Financing.* The concept review meeting was held on December 5, 2016 and the final approval of the concept package was obtained on January 27, 2017. It is anticipated that the final project paper will be submitted for approval to the Regional Vice-President in April 2017.

11. The proposed operation takes into account the following lessons learned from the parent project, as well as from other operations conducted in the DRC in a post-conflict situation in the areas of forestry and the protection of Africa's natural resources and more generally capacity-building programs:

<sup>5</sup> On January 30, 2017.

<sup>6</sup> Agence Locale d'Exécution (ALE).

- It is important in post-conflict countries to take into account real operating capacities of government agencies. The project's design includes implementation by non-government operators so as to obtain rapid results in the field while investing in capacity-building for government services at the national, provincial, and local level so that they can enhance their capacity;
- Use realistic and simple indicators. Most of the proposed indicators can be monitored using existing information technologies and within government capacities, particularly those of the Department of Forest Inventory and Planning (DIAF) under the MECNDD;
- Steer activities toward direct local benefits instead of targeting global public benefits such as forest conservation and carbon sequestration. While contributing to overall environmental services, the present project is aimed at short-term incentives and socioeconomic benefits that will ensure that the project's outcomes are sustainable over the long term; and
- Promote complementarity and cooperation with other development partners. With this in mind, the present project was designed to be included in the National Investment Plan of the National REDD+ Fund currently being formulated by the UNDP while constituting the foundation for the ER Program and enabling it to achieve its emissions reductions goals within its operational period (2015-2020).

## **E. Scope of the GEF Additional Financing**

12. The proposed GEF AF of US\$6.2 million<sup>7</sup> would support activities in Mai Ndombe District under the first component of the parent project (which was expanded in geographic scope to this district under the CAFI AF). Specifically, the following are the sub-components of the CAFI AF, as defined in the draft CAFI AF project paper with an explanation of how GEF resources would be incrementally applied.

### ***Mai-Ndombe REDD+ Integrated (PIREDD Mai-Ndombe)***

13. *Objective 1a. Strengthening governance for sustainable management of natural resources of the Mai-Ndombe District.* This activity will be financed by \$2.6 million from the CAFI AF and will not receive additional resources from the GEF. Activities to be supported by the CAFI AF are:

- Participation by government agencies in the project's Steering Committee and its monitoring and evaluation services (Environment, Agriculture, Interior, and Land Registry);
- Training the government agents concerned (Environment, Agriculture, Interior, and Land Registry); and
- Improving forestry management and control over charcoal making.

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<sup>7</sup> The precise amount would be US\$ 6,210,046.

14. *Objective 1b. Capacity building for decentralized administration.* Building on the project's progress to date in the development of sustainable management plans, \$0.36 million from the CAFI AF will support the following activities:

- Organizing communities into Local Development Committees (CLDs);
- Strengthening the Rural Management Councils (CARTs) at the territory and sector level (with equipment provided so as to facilitate the work of these committees);
- Supporting regularization of land tenure;
- Formulating Sustainable Development Plans at every level (territory, sector), starting with the territories; and
- Developing Simple Management Plans (SMPs) for 600 CLDs.

15. The GEF funding of \$1,000,000 would add additional funds to the activities above in order to expand the scope of the SMPs to more completely address biodiversity conservation issues which would otherwise receive only partial attention under proposed emphasis of the CAFI funding. In addition, the GEF AF will finance activities for capacity building for the Ministry at the national level, including support to the National Strategy for Community Forestry and knowledge management for the Ministry of Environment (especially regarding payments for environment services and bioprospecting).

16. *Objective 1c. Implementation of planned investments as identified in SMPs.* Implementation will be through service providers. The CAFI AF (\$8.83 million) will facilitate the implementation of investments in community forests. Funds from that source will however not focus in particular on conservation aspects, for which incremental funding will be provided by the GEF AF (\$2,752,968).

17. *Objective 1d. Development of value chains from perennial crops.* This sub-component will be supported by the CAFI AF (\$0.72 million) but no additional funding will be added from the GEF.

18. *Objective 1e. Investments to restore connectivity among territories.* The project will finance investments in the public interest such as road repairs and bridges. This sub-component will be supported only by the CAFI AF (\$4.46 million).

19. *Objective 1f. Support to the most vulnerable communities.* This activity as funded by the CAFI AF (\$0.78 million) will support the implementation of micro-projects for Indigenous Peoples (IPs), including the establishment of IP-managed community forest concessions (in relation to objective 1c). Consultations and activities related to Indigenous Peoples will be implemented in close coordination with the Forest Dependent Community Support Project (P149049 – DGM in DRC). The GEF will provide incremental support (\$1,000,000) to the establishment of IP-managed community forest concessions and other activities following the Indigenous Peoples Plans, in order to focus additional resources on biodiversity conservation priorities.

20. *Objective 1g. Support for family planning.* Although supported by the CAFI AF (\$0.47 million), these activities would not be considered for funding through the GEF AF.

21. *Objective 1h. Support to protected areas (new sub-component only for the GEF).* The DRC's own National Biodiversity Strategy and Action Plan (NBSAP)<sup>8</sup>, prepared under the framework of the Convention on Biological Diversity, provides a good overall vision for national biodiversity priorities, which will guide the detailed preparation of this project. The NBSAP further indicates that each of DRC's provinces will prepare a provincial biodiversity action plan which will eventually constitute appendices of the NBSAP. The Mai-Ndombe Province includes three protected areas: Tumba Ledima Natural Reserve, the Salonga National Park and the Oswe Hunting Reserve. The GEF-AF will provide support (\$1,167,078) to those protected areas (excluding Salonga NP, which is already supported by a range of donor funds, including from the GEF) within the Mai-Ndombe District through:

- Preparation of management plans for one or more of the above PAs (to be selected during preparation);
- increased participation of communities in the management of the PAs; and
- targeted investments.

22. Project implementation for Mai Ndombe District will be outsourced to a new Local Implementing Agency, to be selected on a competitive basis under the CAFI AF. The same ALE will likely manage the GEF-funded activities but a final determination would be made during preparation. The CAFI AF and the GEF AF (\$290,000) will contribute to M&E and fiduciary costs for the FIP Coordination Unit, including support to the MECNDD for national supervision and oversight.

## **F. Incremental Reasoning**

23. 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 Emissions Reduction Program Document (ERPD) which was accepted by the FCPF in June 2016, the first country in the world to pass this milestone. The ERPD now forms the foundation for the ongoing negotiation of an Emissions Reduction Purchase Agreement (ERPA) with the FCPF, expected to be for US\$60 million.

24. 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 CAFI AF is expected to begin disbursing as the ERPA comes into effect and will help sustain the investments needed to ensure reductions in emissions.

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<sup>8</sup> The 2016 submission from the DRC can be found at <https://www.cbd.int/doc/world/cd/cd-nbsap-v3-fr.pdf>.

25. 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.

26. 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 an adequate consideration of biodiversity conservation in the province; 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 levels. For this reason, funding from the climate change and biodiversity operational focal areas is being requested for the GEF AF.

## **G. Expected Benefits and Risks**

27. As improved land-use governance arrangements are put in place, it is expected that the provincial and district authorities will incorporate the need to reduce deforestation in their investment planning and land-use policies, thus resulting in different development choices. The villages will have an interest in complying with local low-deforestation development plans as the compliance with the land management rules will be linked to either revenue-generating investments or direct payments (performance-based incentives). In addition, the magnitude and likelihood of land use conflicts will be lowered through the multi-stakeholder committees for land use (CARTs) and the participatory approach to land-use planning at the CLD level.

28. Global environmental benefits, include the expected reduction in carbon emissions of the provincial jurisdiction. The DRC is the first country in the world to submit an ERPD to the FCPP. DRC submitted an Intended Nationally Determined Contribution (INDC)<sup>9</sup> to the UNFCCC prior to COP21 in Paris. The document underscores the importance of agriculture, energy and forests on the mitigation side. The proposed GEF project will be a major part of the overall strategy for the country to meet these ambitious carbon emission reduction targets, both for the ERPD and for the NDC.

29. The attention to biodiversity will allow increased protection of several protected areas that are now almost devoid of protection. This will focus investments on key biodiversity areas (KBAs) in this part of the Congo Basin. Further information on KBAs will be provided during the project preparation phase.

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<sup>9</sup> The INDC is accessible at

<http://www4.unfccc.int/Submissions/INDC/Published%20Documents/Democratic%20Republic%20of%20the%20Congo/1/CPDN%20-%20R%C3%A9p%20D%C3%A9m%20du%20Congo.pdf>. The DRC has signed but not yet ratified the Paris Agreement, so the INDC remains “intended” for now.

30. The project will also help the DRC meet its obligations under the Aichi Targets<sup>10</sup>. The project will contribute to achieving all of 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.

31. Risks of the possibility that an ERPA cannot be negotiated in the near future are low. Indeed, as of December 7, 2016, the DRC is the first country in the world that has been selected into the Carbon Fund portfolio of the FCPF, which has allowed the country to start negotiating the ERPA. Sustainability of the investments under the IFLM and the AFs is thus strengthened by the future money flows to be generated under the ER Program.

32. As already planned under the CAFI AF, a consultation process will be planned to: (i) extend the scope of the Forest Investment Program safeguard instruments to encompass the entire province; and (ii) develop Indigenous Peoples Plans (IPPs) to govern the micro-projects which will benefit the Indigenous Peoples. These additional provisions for implementing safeguards will similarly apply to the GEF AF but will need to be updated. The parent project is classified as an environmental Category B and triggers safeguard policies for Environmental Assessment, Natural Habitats, Forests, Pest Management, Physical Cultural Resources, Indigenous Peoples and Involuntary Resettlement. The AFs will continue to rely on the cleared social and environmental safeguards instruments of the parent project, which include the following tools:

- a) An Environmental and Social Management Framework (ESMF), which sets out the environmental and social screening processes for the project as well as for the preparation of environmental and social management plans;
- b) A Pest Management Plan (PMP), which sets out the procedures to be followed in assessing the potential adverse environmental impacts of pest management, and the measures to be taken to offset, reduce or mitigate any adverse impacts;
- c) A Cultural Heritage Protection Framework (CHPF), which (i) establishes the procedures to be followed in assessing the potential adverse impacts of the project on physical cultural assets;
- d) An Indigenous Peoples Planning Framework (IPPF) which outlines measures to ensure culturally appropriate social and economic benefits under the project and for the preparation of Indigenous Peoples development plans as needed;
- e) A Process Framework (PF), which sets out the procedures to be followed in assessing potential access limitation as a result of project activities and the corresponding measures to be implemented;

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<sup>10</sup> <https://www.cbd.int/sp/targets/>.

- f) A Resettlement Policy Framework (RPF) which addressed the procedures to be followed in the unlikely event of involuntary resettlement.

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

Additional Financing will be implemented in the Mai Ndombe District, supplemented by common interest investments at the Mai Ndombe Province level.

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

Joelle Nkombela Mukungu (GEN07)

Lucienne M. M'Baipor (GSU01)

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

<b>Safeguard Policies</b>	<b>Triggered?</b>	<b>Explanation (Optional)</b>
Environmental Assessment OP/BP 4.01	Yes	The exact locations where CAFI (Additional Financing) activities will be implemented are still not known. Therefore, an Environmental and Social Management Framework (ESMF) will provide guidance on managing environmental and social risks. It is based on the review of the ESMF of the parent project, which was prepared, reviewed, consulted upon, and disclosed within the country and on the World Bank website (InfoShop: 03 April 2014), with a view to taking into account the change of geographical focus.
Natural Habitats OP/BP 4.04	Yes	The Additional Financing (AF) will operate in natural habitats, but will not include activities that involve significant conversion or degradation of natural habitats. Instead, the AF activities are designed to reduce pressure on natural habitats and improve their conservation. Agroforestry activities will be promoted in degraded savanna lands. Potential impacts and proposed mitigation measures are included in the ESMF.
Forests OP/BP 4.36	Yes	The Additional Financing will operate in forested areas, but will not involve conversion or degradation of critical forest areas. The Additional Financing will however finance agroforestry and plantations in non-forested

		and/or degraded areas. Agroforestry activities under the AF 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. Forest management plans may also be prepared during project implementation.
Pest Management OP 4.09	Yes	The Additional Financing will support intensification of agriculture and agroforestry activities developed by communities, and farmers organizations in the Mai Ndombe District, as the Parent Project currently does in the Plateau District. Activities may thus require pest management activities. For that reason, an Integrated Pest Management Plan (IPMP) has been prepared 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 is based on the review of the IPMP of the Parent project, which was reviewed and disclosed publicly in the country and on the World Bank website (InfoShop: 03 April 2014), with a view to taking into account the change of geographical focus. The IPMP also provides guidance on the safe selection, handling and disposal of pesticides.
Physical Cultural Resources OP/BP 4.11	Yes	The Additional Financing will be implemented in the Mai Ndombe Province, which is as big as a country like Nicaragua. Hence, AF activities developed in these areas might be located in, or in vicinity of, physical cultural resources, notably sacred sites of local communities. The identification of possible physical cultural resources will be conducted on-site with relevant experts and project-affected groups. To this end, the Cultural Resources Management Framework (CRMF) of the Parent Project prepared, reviewed, and disclosed in DRC and on the World Bank website (InfoShop: 03 April 2014) has been reviewed.
Indigenous Peoples OP/BP 4.10	Yes	For the parent project, an Indigenous Peoples Planning Framework (IPPF) was prepared, consulted upon and disclosed in the DRC and on the World Bank website (InfoShop: 09 April 2014). To take into account the

		<p>increased extent of the geographical focus to the Mai Ndombe District as derived from the AF, this IPPF has been updated. On the other hand, as the AF will finance some direct investments benefiting Indigenous Peoples, an Indigenous Peoples Plan (IPP) has also been prepared to deal with any potential adverse impacts of such new investments.</p> <p>(InfoShop: 03 April 2014) A specific Indigenous Peoples Plans (IPP) will be prepared and implemented, as required. A social assessment and an iterative appropriate gender and intergenerational inclusive consultation framework will be developed to ensure Indigenous Peoples receive culturally appropriate social and economic benefits and potential negative impacts are avoided, minimized, mitigated or compensated.</p>
Involuntary Resettlement OP/BP 4.12	Yes	The development and implementation of local land use plans promoted by the additional Financing may reduce the access to natural resources for some households. A Process Framework and a resettlement policy framework (RPF) will ensure the appropriate measures have been taken in elaborating and implementing those plans. It is based on the review of the RPF of the parent project, which was prepared, reviewed, consulted upon, and disclosed within the country and on the World Bank website (InfoShop: 03 April 2014), with a view to taking into account the change of geographical focus.
Safety of Dams OP/BP 4.37	No	The AF does support construction and/or maintenance of dams.
Projects on International Waterways OP/BP 7.50	No	The AF does support activities on international waterways.
Projects in Disputed Areas OP/BP 7.60	No	The AF does support activities in disputes areas.

#### IV. 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:**

Although seven (07) safeguards policies have been triggered, the expected potential negative environmental and social impacts of activities are very low. Indeed, the Additional Financing

<p>will build on the parent project activities 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 remains an EA category "B" project, and triggers seven (07) 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 project interventions are not yet precisely known, the Borrower updated the six (06) environmental and social safeguards instruments prepared under the parent project, 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). In addition to that, an Indigenous People Plan (IPP) was also prepared.</p> <p>Furthermore, DRC has been developing for many years institutional capacity for safeguards policies in various sectoral ministries, allowing the DRC today to satisfactorily use and implement safeguards instruments. It is particularly true under previous and/or ongoing Bank operations, including the parent project (under the Forest Investment Program). The Ministry of Environment, and Sustainable Development (Project's host ministry) benefits from a dedicated body, the Congolese Environment Agency (CEA), to oversee the national environmental safeguards policies implementation. CEA cleared e.g. the safeguards instruments of the parent project (ESMF, IPMP, PCRMF, IPPF, RPF, and PF) on behalf of the Government of DRC. CEA has been supervising the parent project since its effectiveness, and will extend its follow-up to the new activities under the Additional Financing. Supervision includes among other activities, ensuring appropriate inclusion of safeguards procedures in project manuals, and investments compliance. In the field, CEA is supported by decentralized administration units (<i>Coordinations Provinciales de l'Environnement</i>) with a view to controlling the sound implementation of safeguards measures as reflected in the various safeguards documents.</p>
<p><b>5. Identify the key stakeholders and describe the mechanisms for consultation and disclosure on safeguard policies, with an emphasis on potentially affected people.</b></p>
<p>During the preparation of the Parent Project, consultations were organized with all the stakeholders likely to be impacted by the project (Ministry of Environment, and Sustainable Development at central and decentralized levels, Province representatives, NGOs, local communities, private sector, and local authorities including customary authorities). Project objectives and modalities of implementation were presented and discussed extensively,</p>

including safeguard policies.  
 Most of the comments provided by the stakeholders were taken into account in the latest versions of safeguard instruments.  
 Community activities under the AF will be identified and approved through inclusive consultative processes, as part of a participatory land use planning exercise.  
 The project will not fund any investment that would not be satisfactory to the vast majority of beneficiaries.

***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	23-Feb-2017
Date of submission to InfoShop	
For category A projects, date of distributing the Executive Summary of the EA to the Executive Directors	
"In country" Disclosure	
Congo, Democratic Republic of	
<i>Comments: New safeguards documents are derived from an update of the parent project safeguards instruments, completed in February 2017 with a view to taking into account the change of geographical focus, adding the Mai Ndombe District.</i>	
<b>Resettlement Action Plan/Framework/Policy Process</b>	
Date of receipt by the Bank	
Date of submission to InfoShop	
"In country" Disclosure	
Congo, Democratic Republic of	
<i>Comments: New safeguards documents are derived from an update of the parent project safeguards instruments, completed in February 2017 with a view to taking into account the change of geographical focus, adding the Mai Ndombe District.</i>	
<b>Indigenous Peoples Development Plan/Framework</b>	
Date of receipt by the Bank	
Date of submission to InfoShop	
"In country" Disclosure	
Congo, Democratic Republic of	
<i>Comments: New safeguards documents are derived from an update of the parent project safeguards instruments, completed in February 2017 with a view to taking into account the change of geographical focus, adding the Mai Ndombe District. Concomitantly, an IPP was completed to specify the substance of the support to Indigenous Peoples over the life time of the Project.</i>	
<b>Pest Management Plan</b>	
Was the document disclosed prior to appraisal?	Y

Date of receipt by the Bank	22-Feb-2017
Date of submission to InfoShop	
"In country" Disclosure	
Congo, Democratic Republic of	
<i>Comments:</i> New safeguards documents are derived from an update of the parent project safeguards instruments, completed in February 2017 with a view to taking into account the change of geographical focus, adding the Mai Ndombe District.	
<b>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.</b>	
<b>If in-country disclosure of any of the above documents is not expected, please explain why::</b>	

**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 type="checkbox"/>	No	<input type="checkbox"/>	NA	<input checked="" 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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## VII. Approval

Task Team Leader(s):	Name: Douglas J. Graham	
<i>Approved By:</i>		
Safeguards Advisor:	Name:	Date:
Practice Manager:	Name:	Date:
Country Director:	Name:	Date:

