

**INTEGRATED SAFEGUARDS DATASHEET
APPRAISAL STAGE**

I. Basic Information

Date prepared/updated: 02/28/2011

Report No.: AC5864

1. Basic Project Data

Country: Africa	Project ID: P113167
Project Name: Enhancing Institutional Capacities on REDD issues for Sustainable Forest Management in the Congo Basin	
Task Team Leader: Carole Megevand	
GEF Focal Area: Climate change	Global Supplemental ID:
Estimated Appraisal Date: February 28, 2011	Estimated Board Date: May 26, 2011
Managing Unit: AFTEN	Lending Instrument: Technical Assistance Loan
Sector: Forestry (100%)	
Theme: Climate change (40%);Biodiversity (40%);Environmental policies and institutions (20%)	
IBRD Amount (US\$m.):	0.00
IDA Amount (US\$m.):	0.00
GEF Amount (US\$m.):	13.00
PCF Amount (US\$m.):	0.00
Other financing amounts by source:	
<u>BORROWER/RECIPIENT</u>	3.00
	<u>3.00</u>
Environmental Category: B - Partial Assessment	
Repeater <input type="checkbox"/>	
Is this project processed under OP 8.50 (Emergency Recovery) or OP 8.00 (Rapid Response to Crises and Emergencies)	Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>

2. Project Objectives

The Project Development Objective is to strengthen the capacities of the Congo Basin countries on REDD+ issues and on forest carbon stock measurements.

3. Project Description

Component 1: Improving Knowledge and Coordination on REDD + in the Congo Basin.

While the six Congo Basin countries are advancing on their REDD Readiness process at the national level, many capacity building and training needs are common across the different countries, and significant economies of scale and value-added can be achieved through enhanced information exchange and sharing of country experiences. The Component will:

- (i) Strengthen regional dialogue and coordination functions for REDD+ across the Congo Basin countries with a specific focus on learning and exchange at the political and technical levels, as well as between policy makers and technical experts. At the policy

level, the Climate Working Group will receive facilitation and capacity building support and cross-sectoral policy dialogue will be advanced through the engagement with CEEAC (i.e. the regional economic union). Further, South-South cooperation will be supported between the Congo basin countries and other major tropical forest regions (Amazonia and Southeast Asia).

(ii) Promote inclusive participation and representation of stakeholder groups in policy and strategy discussions at the regional level, focusing on support to CEFDHAC networks, specifically REPALAC, a network for indigenous people, as well as REPAR, a network of Central African parliamentarians. Support will particularly strengthen the connection between the national representative networks and local populations, complementing support to the regional level networks that is provided by other technical partners. Key topics identified by the two networks in the context of REDD+ are land tenure reform, customary rights, and benefits sharing mechanisms for forest/carbon revenues.

(iii) Respond to incremental capacity building needs at the national REDD coordination to maintain regional cohesion. While some needs are common to all six countries and can be covered at the regional level, there are others that are country-specific but that also deserve to be responded to in order to maintain regional cohesion. Consequently, moderate envelopes will be provided to national REDD coordination teams to support country-specific activities that complement supports provided from FCPF, UNREDD, and other donors. GEF financing will provide strategic input to enable countries to fully engage and contribute to regional processes.

Component 2: Building Technical Capacities for measurement and monitoring of carbon stocks in the Congo Basin forests.

This component will build technical capacities to help countries in the longer process of establishing systems to measure and monitor forest carbon stocks in line with the transparency, comparability, completeness, and accuracy principles expected by the IPCC. More specifically, this component will address the current constraint of the uncertainties of current carbon stock estimates in the Congo Basin with the elaboration of allometric equations that are specific to the Congo Basin forests. This will be an important building block for the overall MRV systems that are established in parallel for the Congo Basin countries under a regional approach by the FAO with financing of the CBFF. For this purpose, this component will:

(i) Set up a scientific partnership for forest carbon measurement and monitoring, to support coordination of the numerous related activities in the Congo Basin and thus maximize impact for the countries. Regional scientific knowledge exchange through a network of international experts and national research institutions will also support the creation of pool of national experts on carbon measurements.

(ii) Elaborate allometric equations for the key forest types of the Congo Basin, to address the current challenge of reliable and accurate data availability for forest carbon stock estimates in the Congo Basin and to lay the foundations for a MRV system necessary for a future result-based financial incentive system for REDD+. Activities supported by the Project will include (a) the definition of a methodology in compliance with IPCC guidelines, including a sampling strategy to guide fieldwork to be carried out

in the six countries, (b) the data collection in the six countries, based on sampling strategy spelt out in the proposed methodology and (c) the data analysis and the elaboration of a publically accessible database of carbon measurements. These activities will all be carried out in close collaboration with national research institutions and forest management agencies and will include an important component of capacity building and knowledge transfer.

Component 3: Mainstreaming REDD + concept in SFM projects.

This component will support REDD+ project developers with targeted capacity building and information exchange. Compiling experience from pilot projects on the ground will further inform the development of National REDD Strategies and build a dialogue and process of learning between practitioners in the field and policy makers at the national strategy level. This Component will:

(i) Set up an Incubator to promote REDD+ pilot projects in the Congo Basin. Aside from practical guidance on market opportunities and project development, support will place special emphasis on social and environmental standards and their application in pilot projects. Building on the inventory of sub-national REDD+ pilot initiatives set up during the preparation phase, the Project will strengthen a network of practitioners to support knowledge exchange and learning. Further, Governments are looking towards learning from experiences made under REDD+ pilot projects to inform their national-level REDD strategies: the Incubator will also facilitate the two-way communication between policy-makers and private REDD practitioners.

(ii) Define methodologies to promote REDD+ in the Congo Basin. The Project will support targeted analytical works to further investigate critical issues related to REDD, with a specific attention to social and environmental dimensions of REDD. Priority analytical works for the first year of implementation have been identified, one of them being the Regional Environmental and Social Assessment of REDD (RESA). The RESA will provide a broad regional assessment of the existing environmental and social challenges related to REDD implementation in the Congo Basin (including issues related to benefit-sharing mechanisms, land tenure and carbon right aspects). The RESA will serve two main purposes: Primarily, it will serve as a risk mitigation instrument for activities that will be implemented under the Regional REDD Project. Secondly, it will serve to develop technical guidelines that guide countries with the safeguards process for REDD readiness at the national level. Such technical guidance will support countries with the preparation of their national-level SESAs. Additionally the RESA, to be launched at the very beginning of the project implementation, will serve as the Safeguard instrument for the Project. Given the highly dynamic REDD+ policy context, further analytical works will be identified as part of work plan development on an annual basis. Based on the findings of analytical work, technical guidelines will be established that provide guidance to project developers.

Component 4: Project Management.

This component will support costs of project management that are incremental to the operational cost of COMIFAC's Executive Secretariat. GEF financing will mainly finance salaries of the staff of the Project Management Unit (PMU), attached to

COMIFAC Executive Secretariat with offices based in Yaoundé, Cameroon, The PMU will be composed of a Project Manager, a Financial Management Specialist and a Procurement Specialist, needed to ensure fiduciary standards and accountability as well as the program manager. GEF will further contribute to cost related to other support staff, facilities, operating cost and travel. COMIFAC will contribute to all of the latter costs.

4. Project Location and salient physical characteristics relevant to the safeguard analysis

This Project does not entail specific investment activities on the ground. It is instead focused on providing technical assistance to the Central African Forest Commission (COMIFAC) and governments of the six highly forested Congo Basin countries. On the ground activities are limited to data collection for the elaboration forest carbon stocks. These activities will be carried out throughout the geographic area of the six countries hosting the tropical forest ecosystems of the Congo Basin (i.e. Cameroon, CAR, DRC, Equatorial Guinea, Gabon, and Republic of Congo). Though not yet completed defined, it is likely that the research activities conducted under the Component 3 will cover different forest ecosystems in different geo-climatic areas.

5. Environmental and Social Safeguards Specialists

Mr Mohamed Arbi Ben-Achour (AFTCS)

Mr Mohammed A. Bekhechi (LEGEN)

6. Safeguard Policies Triggered	Yes	No
Environmental Assessment (OP/BP 4.01)	X	
Natural Habitats (OP/BP 4.04)		X
Forests (OP/BP 4.36)		X
Pest Management (OP 4.09)		X
Physical Cultural Resources (OP/BP 4.11)		X
Indigenous Peoples (OP/BP 4.10)		X
Involuntary Resettlement (OP/BP 4.12)		X
Safety of Dams (OP/BP 4.37)		X
Projects on International Waterways (OP/BP 7.50)		X
Projects in Disputed Areas (OP/BP 7.60)		X

II. 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 is a Technical Assistance project aiming at fostering regional coordination on REDD across the Congo Basin. It will finance activities that strengthen capacity, improve regional institutional processes, generate and diffuse knowledge, and support regional learning processes.

The Project will not finance any concrete investment activities on the ground and is thus not expected to have any direct environmental and social impact on the ground. However,

it is considered that the Project might have indirect impacts in the sense that the findings from analytical work carried out under the Project may influence the design of the national REDD+ strategies in the six Congo basin countries (i.e. second generation activities).

In line with the above, it has been decided that the OP/BP 4.01 on Environmental Assessment be triggered, to ensure that the potential environmental and social adverse impacts caused by second-generation activities are adequately prevented and/or mitigated. Due to the Technical Assistance nature of the Project, other safeguard policies, i.e. OB/BP 4.10 Indigenous Peoples, OP/BP 4.12 Involuntary Resettlement, OB/BP 4.36 Forests, and OB/BP 4.04 Natural Habitats, have not been triggered.

2. Describe any potential indirect and/or long term impacts due to anticipated future activities in the project area:

As the Project will be Technical Assistance delivering support for regional coordination, capacity building, and applied research activities, it will not include any concrete investment activities to be implemented on the ground. As such, the project will only have indirect environmental or social impact described above.

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

The Project initially had a focus on research activities related to the drivers of deforestation. However, a multitude of parallel analytical work is already being carried out in the region. Consequently, during project preparation more emphasis was placed on analytical work that aims to better understand social dimension of REDD+ and ultimately provide guidance on improved participation and representation of local stakeholders in policy debates and recommendations for benefit sharing mechanisms for future REDD+ implementation. For example, the project will invest in analytical work (under Component 3b) on land tenure and carbon property rights that will provide guidance for participatory land mapping and categorization of land user rights at the various levels.

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. Considering the type of financing instrument (i.e. Technical Assistance) as well as the regional nature of the Project, a Regional Environmental and Social Assessment of REDD (RESA) was identified as the appropriate safeguards# instrument for the Regional REDD Project. While all the six Congo Basin countries are members of the Forest Carbon Partnership Facility (FCPF) and thus committed to conduct a Strategic Environmental and Social Assessment as part of their Readiness Process, the proposed RESA will not duplicate aspects that are anticipated to be covered by the national-level SESAs (including diagnostic work) but will rather focus on environmental and social issues of regional relevance, i.e. issues that:

- result from macro-level effects in the region or globally and have impact beyond the national (e.g. commodity price variations with impact on regional markets),
- relate to trans-boundary issues (i.e. trans-boundary migration, leakage of timber and/or wildlife trade),

- result from cumulative impact (i.e. impact that is minor at a local or national scale, but significant at the regional scale (i.e. scattered small-scale slash-and-burn agriculture), or
- relate to issues that are common to all six Congo Basin countries (i.e. land-tenure aspects, lack of benefit sharing arrangements for forest carbon revenue, etc) for which guidelines could be sought at the regional. Consultations in all six countries would support the process of identifying such regionally relevant environmental and social issues.

Generally, the RESA will serve two main purposes.

a) The RESA will serve as a risk mitigation instrument for activities to be implemented under the Regional REDD Project: More specifically, a framework (or checklist) will be compiled, that lists prioritized environmental and social considerations that are relevant at the regional level, according to the above-mentioned criteria. The checklist will be defined based on findings and feedback from regional consultations to be carried out during the first year of project implementation.

The Checklist will be used by the Project Management Unit as a guiding tool when it develops the semi-annual work plans and by the Project Steering Committee to review these work plans. All planned project activities will be screened against this checklist. The screening process will ensure that all project activities adequately take into consideration environmental and social considerations and thus comply with the World Bank Safeguards Policies. If necessary, the scope of planned activities would be adjusted to ensure this compliance.

In practice, the checklist will also guide the identification of project activities (training, analytical work, guidelines) to be carried out during Year 3-5: the details for consultation and capacity building (as per Component 1a and b), as well as analytical work and technical guidelines (as per Component 3b) have purposefully not yet been fully defined.

b) The RESA will further serve to identify and develop a set of technical guidelines to address social and environmental issues that have regional relevance or commonalities across the different countries: The purpose of such technical guidelines would be to help Congo Basin countries to address environmental and social issues as part of their respective national SESA process and identify approaches to implement REDD in a socially and environmentally-sound manner. The technical guidelines are anticipated to cover issues that are common to all six Congo Basin countries (i.e. land-tenure aspects, lack of benefit sharing arrangements for forest carbon revenue, etc).

Developing such technical guidelines on environmental and social considerations of regional relevance will not only generate economies of scale, but more importantly, will accelerate the SESA process in those countries where the REDD readiness process is less advanced. It will further enhance mutual learning among the countries and help with harmonization of countries' approaches to address, mitigate and prevent negative social and environmental issues. The type of technical guidelines to be developed will be

determined based on prioritization of environmental and social considerations resulting from stakeholder consultations that will be carried out during the first year of the Project.

Different time-tracks and resulting multi-directional feedback mechanisms: Depending on the progress with REDD readiness activities in each of the six Congo Basin countries, the RESA will either precede the SESA (anticipated scenario for Gabon, Equatorial Guinea), be carried out in parallel with the SESA (anticipated scenario for Cameroon, Republic of Congo, Central African Republic), or be carried out slightly subsequent to the SESA (anticipated scenario for DRC). Taking into account the different time track of REDD readiness in each of the countries, the feedback process between the RESA and the various national-level SESAs will be multidirectional. For example, the consultation and prioritization process on environmental and social considerations for REDD is expected to advance substantially in DRC through during 2011-2012 and will thus provide input into the RESA. However, with view to the other Congo Basin countries, such country to region input is not anticipated. Instead the technical guidelines developed within the framework of the RESA (i.e. as per second objective), will serve to guide countries with their national-level SESA process and their identification of planned mitigation actions.

National capacity for monitoring safeguard application varies across the countries. Cameroon and Gabon have had a longer term engagement with the World Bank in the forest sector and as a result have capacity within the Government to address safeguard policy issues. However, capacities related to safeguard implementation and monitoring remains low in the Democratic Republic of Congo, the Republic of Congo, the Central African Republic, and Equatorial Guinea.

5. Identify the key stakeholders and describe the mechanisms for consultation and disclosure on safeguard policies, with an emphasis on potentially affected people. The Project design incorporates extensive consultation activities and associated capacity building for key local level stakeholders with the objective to enhance their participation in the regional dialogue on REDD+. Under Component 1 b), the Project will facilitate enhanced inclusion and representation of civil society in the regional dialogue on REDD+: specific attention will be given to the representation of the Indigenous Peoples, as the project will support the Regional Network of Local and Indigenous Populations for the Sustainable Management of Forest Ecosystems in Central Africa (REPALEAC).

In line with safeguard policies for Technical Assistance, detailed Terms of Reference for the RESA will be publically disclosed prior to appraisal of the Project. The RESA itself will be carried out at the initiation of the project implementation and disclosed publically once it has been completed.

B. Disclosure Requirements Date

Environmental Assessment/Audit/Management Plan/Other:

Was the document disclosed **prior to appraisal?**

Yes

Date of receipt by the Bank	02/17/2011
Date of "in-country" disclosure	02/21/2011
Date of submission to InfoShop	02/18/2011
For category A projects, date of distributing the Executive Summary of the EA to the Executive Directors	

Resettlement Action Plan/Framework/Policy Process:

Was the document disclosed **prior to appraisal?**

Date of receipt by the Bank
Date of "in-country" disclosure
Date of submission to InfoShop

Indigenous Peoples Plan/Planning Framework:

Was the document disclosed **prior to appraisal?**

Date of receipt by the Bank
Date of "in-country" disclosure
Date of submission to InfoShop

Pest Management Plan:

Was the document disclosed **prior to appraisal?**

Date of receipt by the Bank
Date of "in-country" disclosure
Date of submission to InfoShop

*** If the project triggers the Pest Management and/or Physical Cultural Resources, 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:

This is a Technical Assistance Project. As such, detailed Terms of Reference for a Regional Environmental and Social Assessment (RESA) at the regional level are prepared and disclosed prior to appraisal of the project; however, the actual Regional Environmental and Social Assessment will be carried out as part of project implementation.

C. Compliance Monitoring Indicators at the Corporate Level (to be filled in when the ISDS is finalized by the project decision meeting)

OP/BP/GP 4.01 - Environment Assessment

Does the project require a stand-alone EA (including EMP) report?	No
If yes, then did the Regional Environment Unit or Sector Manager (SM) review and approve the EA report?	N/A
Are the cost and the accountabilities for the EMP incorporated in the credit/loan?	N/A

The World Bank Policy on Disclosure of Information

Have relevant safeguard policies documents been sent to the World Bank's InfoShop?	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	Yes

groups and local NGOs?

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

D. Approvals

<i>Signed and submitted by:</i>	<i>Name</i>	<i>Date</i>
Task Team Leader:	Ms Carole Megevand	02/28/2011
Environmental Specialist:	Mr Mohammed A. Bekhechi	02/28/2011
Social Development Specialist Additional Environmental and/or Social Development Specialist(s):	Mr Mohamed Arbi Ben-Achour	02/28/2011
<i>Approved by:</i>		
Regional Safeguards Coordinator: Comments:	Ms Alexandra C. Bezeredi	02/28/2011
Sector Manager: Comments:	Ms Idah Z. Pswarayi-Riddihough	02/28/2011