



Food and Agriculture Organization
of the United Nations

Environmental and Social Risk Management Framework

PREFOREST CONGO - Project to reduce greenhouse gas emissions from forests in five departments in the Republic of Congo



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EXECUTIVE SUMMARY

The Government of the Republic of Congo requested FAO support in developing a climate change mitigation and adaptation project to be submitted to the Green Climate Fund for financing. The FAO engaged an international consultant to conduct an environmental and social risk identification, analysis and management study, as well as to develop the management framework for these risks. The study was conducted between mid-May and the end of July 2019. By the end of the fieldwork in May 2019, the project team found 13 villages with resident indigenous populations in the district of Ngo. The risk analysis and management consultant also conducted an analysis of the situation of these indigenous populations and developed a Planning Framework for Indigenous Peoples, which is the subject of a separate report.

The Project addresses the main causes of deforestation and forest degradation, which are slash-and-burn farming and over-logging of natural forest for fuelwood. It is structured into three components: 1) System change enabling activities for sustainable low emission agroforestry and forestry practices; 2) Establishment of agroforestry and forestry systems for climate change mitigation; and 3) Strengthening national agricultural financing structures, business capacities and value chains. Risk identification and analysis is based on:

- Documentary analyses, including feasibility studies conducted by the French Agricultural Research Center for International Development (*Centre de coopération internationale en recherche agronomique pour le développement* - CIRAD);
- Interviews with individuals well-informed on the risks in Brazzaville, the Project areas and outside Congo;
- Interviews with the authorities, technicians and various stakeholders in the departments and districts;
- In particular, semi-structured exchanges within communities with village chiefs, men, women, members of agricultural producer groups, young people, and chiefs of indigenous and non-indigenous populations in the Bantu villages in the district of Ngo.

The environmental and social risks assessment assigns the Project to Category 2 - Medium Risk. The main risks identified are:

- **Risk #1: Land access.** Difficulties relating to land access and tenure rights security may compromise the large-scale adoption of sustainable agroforestry and forestry practices. Probability and impact: medium;
- **Risk #2: Tenure rights & benefits.** Inequal land tenure rights systems could hinder equitable sharing of the Project benefits. Low probability, medium impact;
- **Risk #3: Pressure on forests.** Initial investments in agroforestry and forestry initiatives may become financially attractive and could increase the pressures and risks of deforestation and forest degradation. Low probability, high impact;
- **Risk #4. Participation.** The beneficiary screening criteria, particularly counterpart requirements related to the minimum size of initiatives and group registration under Component 1 may limit the participation of certain qualified candidates. Medium probability, medium impact;
- **Risk #5: Management capacities.** Development of the management capacities of some members of community groups will be difficult, particularly for women's and indigenous groups. Medium probability, medium impact;

- **Risk #6: Indigenous peoples.** Indigenous people may not benefit equally from the Project due to their marginalization. Medium probability, low impact;
- **Risk #7: Governance.** The governance level of the government's administrative and technical departments is poor, which could compromise the implementation of certain Project components. Medium probability, low impact;
- **Risk #8. Health.** The use of pesticides and other chemical agricultural inputs, as well as the disturbance of natural ecosystems could have adverse effects on the health of populations and the environment. Low probability, low impact.
- **Risk #9: Labor. Some beneficiaries' activities may result in** labor issues, including child labor, discrimination in selection processes, and abusive working conditions. Medium probability, low impact.
- **Risk #10: Displacement.** On the ground interventions (agroforestry/ANR) could lead to displacement of informal settlers/land occupants, or undocumented claimants on both public and private lands as well as potential restriction of access to forest resources, affecting traditional forest users. Low probability, medium impact.

The mitigation measures for each risk have been identified, specific indicators have been developed and responsibilities for application of the measures have been defined.

ACRONYMS

CFO	Congolese Forest Office
CIRAD	Agricultural Research Centre for International Development
CNIAF	National Centre for Forest and Fauna Inventory
CRAL	Loudima Agronomic Research Center
CTFT	Tropical Forest Technical Center
DGE	Directorate General for the Environment
ESIA	Environmental and Social Impact Assessment
ESMFP	Environmental and Social Management Framework Plan
ESS	Environmental and Social Standards
EU	European Union
FAO	United Nations Food and Agriculture Organization
GCF	Green Climate Fund
GHG	Greenhouse gases
IFC	International Finance Corporation
IP	Indigenous People
IRA	Agricultural Research Institute
IRF	Forestry Research Institute
MAEP	Ministry of Agriculture, Livestock and Fisheries
MAFDP	Ministry of Land Affairs and State Property
MATGT	Ministry of Land Use Planning and Major Works
MEF	Ministry of Forest Economy
MEH	Ministry of Energy and Water
MUCODEC	Congolese Savings and Credit Unions
NGO	Non-Governmental Organization
NIES	Environmental and Social Impact Note
OHS	Operational Health and Safety
PCI	Principles, Criteria and Indicators
PMU	Project Management Unit
PNAT	National Land-Use Plan
PRONAR	National Program of Afforestation and Reforestation
PS	Performance Standards
REDD+	Reducing emissions from deforestation and forest degradation and the role of conservation, sustainable management of forests and enhancement of forest carbon stocks
RN	National Road
SC	Steering Committee
SNAT	National Land-Use Schema
SNR	National Reforestation Service
TC	Technical Committee
TPL	Technical Project Leader
TSC	Technical Sub-Committees
UNCBD	United Nations Convention for Biodiversity Conservation
UNCCD	United Nations Convention to Combat Desertification
UNDP	United Nations Development Programme
UNFCCC	United Nations Framework Convention on Climate Change

1. INTRODUCTION

The Government of the Republic of Congo requested the FAO's support in developing a climate change mitigation and adaptation project to be submitted to the Green Climate Fund for financing. During development of the Project, the FAO engaged two international consultants to complete feasibility studies: a) an initial environmental and social risk identification, analysis and management study, and b) an analysis of gender aspects with the development of a gender action plan. The two studies were conducted between mid-May and the end of July 2019. This report primarily presents the results of the environmental and social risk analysis and proposes a management framework for these risks. By the end of the fieldwork in May 2019, the Project team identified 13 villages in which indigenous populations were cohabiting with the Bantu in the district of Ngo. The risk analysis and management consultant also conducted an analysis of the situation of these indigenous populations and developed a draft Planning Framework for Indigenous Peoples, which is the subject of a separate report.

2. PROJECT DESCRIPTION

2.1. Project Background

As a response to its REDD+ Investment Plan and the country's need to increase the resilience capacity of rural and agricultural populations affected by climate change, this Project's objective is to reduce CO₂ emissions and to increase the resilience of local populations in south Congo, focusing its action on three deforestation and forest degradation hotspots (apart from logging areas), which cover the three large supply basins for agricultural products and fuelwood for the country. It specifically involves the basins of Brazzaville, Pointe-Noire and the basin supplied by Road #1, which links the villages of Loudima, Madingou and Nkayi (the Niari valley basin). These basins cover the departments of Plateaux, Kouilou, Niari, Pool and Bouenza, whose forest cover loss rates are among the highest in the country. Overall, the climate is subequatorial, typical of the lower Congo. The vegetation is variable and is respectively made up of pseudo-steppe savanna with a light to absent shrub layer and dense semi-deciduous to evergreen rainforests in Kouilou; shrub savanna with grasses, light to dense shrub layer with the presence of degraded patches of forest in Niari and Bouenza; savanna with mesophilic forest patches and gallery forests bordering watercourses in Plateaux; and dense to moderately dense shrub savanna made up of degraded gallery forests in Pool. The soil is impoverished yellow ferralitic, sandy to sand-clay developed on sandstone and sandy silts.

The agricultural potential in most of these areas is limited by the chemical poverty of the soil, but they are suitable for forest plantations. Agriculture is generally practiced by small-scale rural farmers using rudimentary techniques with limited yields. Forests soils are typically richer than savanna soils, which increases the pressure on gallery forests, other tracts of forest in savanna areas and on the large forests in Mayombe. The impact on forests and their biodiversity is substantial. Since the beginning of the 2000s, a new category of agricultural stakeholder is getting involved, consisting of senior officials and economic operators with fairly modern means of production, and in search of new sources of revenue. The development of these more modern agricultural operations can particularly be seen in Bouenza, Niari, Pool and Plateaux.

2.2. Project Intervention Area

The Project intervention area was selected in order to target the region of the country where pressure on forests and agricultural land is the most acute, apart from forest concession areas. It covers the southern part of the country, which is the most populated area and which has the largest towns, specifically Brazzaville and Pointe-Noire and the three secondary towns (Dolisie, Nkayi and Madingou), which are situated in the Niari valley. The towns of Nkayi and Dolisie are supplied by production basins

from the districts of Kayes, Sibiti, Madingou, Loudima and Louvouka, while Brazzaville mainly receives its food products and fuelwood from the districts of Goma Tsé Tsé, Kinkala, Ignié, Boko, Loumo and Ngabé, as well as a non-negligible portion from the departments of Bouenza, Niari, Cuvette, Plateaux and Cuvette Ouest. Pointe-Noire receives its supplies from many of the abovementioned districts, but particularly Kouilou, Niari, Lékoumou and Bouenza.

To meet this ever-increasing urban demand, farmers use the slash-and-burn technique. This way, they break up patches of natural forest and large forest tracts that leads to GHG emissions. This worrying situation is now the focus of several fora on approaches to global warming mitigation and increased resilience of populations in the face of continued global changes.

In particular, the Project targets the districts containing the three supply basins of these towns in terms of agricultural products and fuelwood. These supply zones also depend on the quality of the access roads. The Project covers areas with relatively easy access in 13 districts in five departments (see Figure 1).

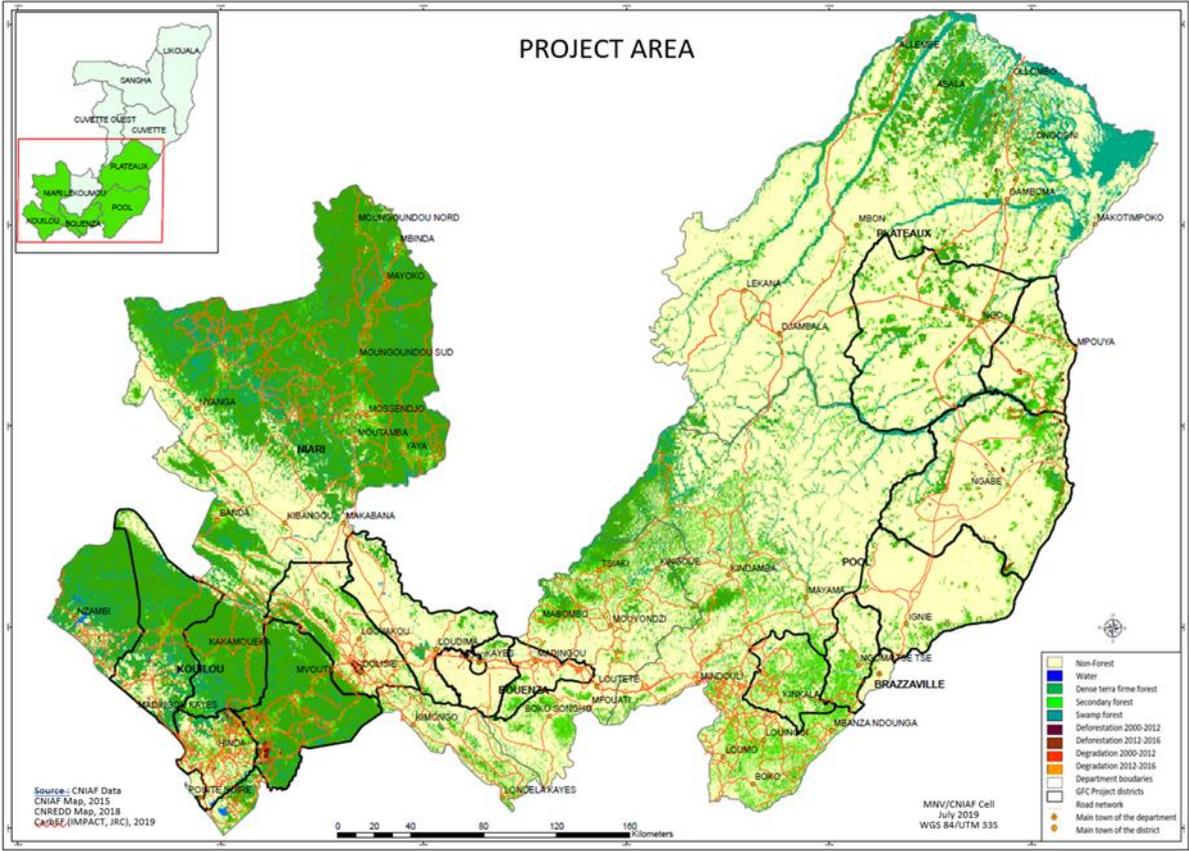


Figure 1: National map of forest cover loss 2000-2016 and location of the Project area

Source: CNIAC and FAO (2019)

The three supply basins, which form the Project area include different ecosystems that are presented here from west to east:

In the south-west

- The coastal basin (or coastal plain), which covers the department of Pointe-Noire and a part of the department of Kouilou;
- The large forest tracts of Mayombe hosting most of the department of Kouilou.

In the center-south:

- The Niari valley encompassing the department of Bouenza and the southern parts of the departments of Niari and Lékoumou;

In the south-east:

- The Plateau des Cataractes extending over the southern parts of the departments of Bouenza and Pool;
- The Batéké Plateaux consisting of the department of Brazzaville, the department of Plateaux and the southern part of the department of Cuvette-Ouest.

One of the most notable characteristics of the Project area is the predominance of prairies and savanna – in the middle of the rainforests of the Congo basin. These savanna areas are primarily situated between the supply basins of the city of Brazzaville and that of the Niari valley. Most of the savannas have reduced forest cover. The prairies and savanna areas regularly burn, particularly in the dry season. Crops and agroforestry and forestry plantations must be protected from fire. The socioeconomic and environmental conditions are presented in Chapter 3, with specific emphasis on forest conditions and the agricultural sector.

2.3. Project Objectives, Components and Activities

The objective of the Project is to reduce deforestation and forest degradation, while also providing adaptation co-benefits, specifically women and indigenous populations. The Project targets the southern part of the country, where pressure on forests and agricultural land is the most acute. It is the most populated part of the country with the largest towns. The specific targets are the districts most affected by the supply networks of these large towns in terms of agricultural products and fuelwood. These supply zones also depend on the quality of the access roads.

The major direct causes of deforestation and degradation of forest ecosystems found in the Project area are land clearing for agriculture. Land clearing for agriculture is the main factor responsible for deforestation, traditionally for slash-and-burn farming but, increasingly, for modern agriculture. Forest degradation is particularly a result of overlogging, mainly for firewood and timber ¹(See Table 1).

Table 1: Forest Cover Loss between 2000-2016

	TOTAL DEFORESTED AND DEGRADED AREAS BY DEPARTMENT (HA)			
	DEFORESTATION 2000-2012	DEFORESTATION 2012-2016	DEGRADATION 2000-2012	DEGRADATION 2012-2016
Likouala	25,858	8,134	33,269	33,421
Sangha	7,989	4,071	24,473	20,717
Cuvette	10,270	2,667	14,130	10,471
Plateaux	15,339	2,670	17,549	10,423
Cuvette Ouest	9,765	2,368	17,315	12,266
Pool	12,384	2,303	10,320	5,943
Lekoumou	6,469	2,202	20,557	20,840
Kouilou	14,145	1,298	14,050	8,652
Niari	8,664	813	18,546	9,484
Bouenza	2,718	173	2,754	2,423
Total	113,600	26,698	172,963	134,641

Source: CNIAF and FAO (2019)

The Project therefore seeks to tackle these major causes of deforestation and degradation of forest ecosystems, including the underlying causes, by implementing activities structured into three

¹ Pongui, B.S. and Kenfack, C.E. 2012 Adaptation and mitigation in the Republic of Congo: Stakeholders and political processes. Working Document 99. CIFOR, Bogor, Indonesia

components to counteract them holistically and systematically. The proposed approach will be promoted in the targeted area, and the successful models will be scaled up by other initiatives elsewhere in Congo, particularly in areas of the country sharing similar causes of deforestation and forest degradation.

This assessment of environmental and social risks is based on an analysis of the planned activities of the Project structured around the following three components:

- **Component 1:** Land-use and resources planning and strengthening of land access and security rights
- **Component 2:** Establishment of agroforestry and forestry systems for climate change mitigation
- **Component 3:** Strengthening agroforestry financing structures, business capacities and value chains

Below is a brief description of each component of the Project and associated activities followed by a summary table. The last column of this table identifies the potential for social and environmental risks related to each activity. Sections 6.2 and 6.3 provide more description and analysis on each risk and mitigation measures to be taken.

Component 1: Land-use and resources planning and strengthening of land access and security rights

Output 1.1. Enabling actions in place

Activity 1.1.1. Development of participatory mapping.

This mapping, to be carried out with the communities, is an essential planning tool to ensure the sustainable natural resources management required to achieve the desired low-emission carbon-resilient development. In an absence of a well-defined land-use plan, digital maps of village land will be drawn up on the basis of participatory mapping. The maps will allow a better knowledge of the landscape mosaic, support resource diagnosis and support a decision making-process (in an inclusive manner) on the desired changes (zoning), which will be recorded in these small scale land use maps. Two maps series (reference level and communities objectives) will be developed by the project for the targeted villages, using the same tools for the establishment of the maps themselves as for NFMS-MRV as much as possible for a sake of consistency. The areas dedicated for the establishment of the agroforestry systems and ANR planned in Component 2 will be included in these maps.

Output 1.2. Land access and security rights of beneficiaries strengthened

It is firmly established – including in Congo - that any robust response to deforestation and forest degradation relies heavily on both land tenure access and security of rights. Field visits in the project areas revealed that access rights to land are based on random and insecure practices. Though the institutional framework on land tenure rights in Congo has evolved significantly over the last decade, access and security rights still have many limitations, especially for local communities and indigenous peoples. The current practice of “temporary leases” between private landowners (formal land ownership or customary land ownership) and small producers, on private land, which are limited to one subsistence crop cycle, does not allow farmers to invest in climate-resilient agroforestry or forestry practices, as this discourages the plantation of trees. Under such conditions where the access and

security rights are not guaranteed, it is appropriate to provide means to strengthen land access and security rights for these beneficiaries.

Three support options are considered by the project, and the relevance of each will depend on the local context of each site: (i) Transfer of user rights on land secured by the National Afforestation and Reforestation Programme (Programme National d’Afforestation et de Reboisement – PRONAR) or land available on former State farms, free of charge, for beneficiaries wishing to implement climate-resilient agroforestry or forestry activities; (ii) Transfer of a part of land to beneficiaries for climate-resilient agroforestry or forestry activities in exchange for the project’s support to secure landowners tenure rights; and (iii) The shared remuneration system under which landowners commit to making land available to beneficiaries interested in implementing climate-resilient agroforestry or forestry activities for a defined period of time in exchange for shared remuneration as a partner or shareholder. Direct beneficiaries for these interventions are local communities interested in agroforestry and forestry systems; local landowners and the departmental directorates of the ministry in charge of land affairs (please refer to section V B of the feasibility study for more details on each option).

Activity 1.2.1. Identification and selection of potential beneficiaries and land owners partners

Initially a communication campaign and a call of expressions of interest will be conducted in the targeted districts to explain direct land access and security rights modalities under PREFOREST, in line with the different legislations, and to pre-select potential beneficiaries and landowners interested in strengthening land access and/or security rights for the implementation of PREFOREST interventions. Beneficiaries and landowners will be selected based on locally specific criteria defined and applied by a local multi-stakeholder committee composed of representatives of the communities, district officials and independent observers. Selection criteria for landowners will include: (i) Proof of ownership of the land; (ii) Area of the land and susceptibility to deforestation and forest degradation (or the expansion thereof); and (iii) Willingness to subdue part of the land for an extended period of time for agroforestry and forestry activities. The final decision will be made by the PMU. Pre-selected beneficiaries will be notified formally, and provided with information about the next steps.

Activity 1.2.2. Establishment of formal agreements with beneficiaries and landowners and provision of support to strengthen tenure security rights

Then, the Project will provide legal and administrative support for the development, signature and formalization of agreements (e.g. notarized agreements) between beneficiaries and PRONAR and between beneficiaries and landowners. Transfer of user rights will be subject to compliance to a list of specifications, including the obligation for the beneficiaries to sustainably manage the transferred land following a plan approved by PRONAR. In respect to tenure security rights, the Project will primarily support departmental directorates of land affairs, particularly in the land adjudication process , and will support landowners over the administrative procedures to obtain land titles. The procedures for transferring land access rights to beneficiaries will be defined with the objective to ensuring equity and providing equal opportunity to all stakeholders, especially the most marginalized (e.g. women, indigenous people). In this regard, the Project will seek to secured access and tenure right over a total area of at least 5,000 ha for women and marginalized groups, notably indigenous people.

Risks related to Component 1 activities:

The enabling actions supported under Component 1, including strengthening of land tenure through formal agreements and transfer of access and use rights as well as awareness raising, participatory mapping, and development of agroforestry and forestry models may be associated with several risks.

These risks include the risk that women, indigenous peoples and other marginalized groups, whose views and perspectives add value to the project actions and enhance the sustainability of the plans, may not be fully engaged. There may also be risks related to the development of management capacities and governance, particularly in regards to taking the plans forward and sustaining them over the longer term. In terms of activities related to improving land tenure rights, due to social norms that tend to exclude women and indigenous peoples from secure tenure, it could be challenging to identify women and indigenous land claimants who could benefit from support for more secure land rights.

Component 1: Activities and potential for environmental and social risks

Activity No.	Activity	Direct Beneficiaries	Potential risks
Output 1.1. Enabling actions in place			
1.1.1	Development of participatory mapping	<ol style="list-style-type: none"> 1. Smallholder farmers 2. Land owners 1. Farmer producer groups/associations 	<ul style="list-style-type: none"> • Participation (Risk #4) • Indigenous peoples (Risk #6) • Displacement (Risk#10)
Output 1.2 Land access and security rights of beneficiaries strengthened			
1.2.1	Identification and selection of potential beneficiaries and land owners partners	<ol style="list-style-type: none"> 2. Smallholder farmers 3. Land owners 4. Farmer producer groups/associations 	<ul style="list-style-type: none"> • Tenure and benefits (Risk#2) • Participation (Risk #4) • Indigenous peoples (Risk #6)
1.2.2	Establishment of formal agreements with beneficiaries and landowners and provision of support to strengthen tenure security rights	<ol style="list-style-type: none"> 2. Smallholder farmers 3. Land owners 4. Farmer producer groups/associations 	<ul style="list-style-type: none"> • Land access (Risk#1) • Participation (Risk #4) • Capacity development (Risk #5) • Governance (#7) • Tenure and benefits (Risk#2) • Indigenous peoples (Risk #6)

Component 2: Establishment of agroforestry and forestry systems for climate change mitigation.

Component 2 consists of supporting initiatives, implemented by individual smallholder farmers and their communities in the three supply basins targeted by the Project, that aim to stabilize slash-and-burn agriculture, increase resilience and provide a sustainable source of fuelwood. This will significantly reduce pressure on natural forests, increase smallholder farmers’ adaptive capacity, and reduce their vulnerability to climate change. The activities under the component will be sustainably implemented even after the end of the project thanks to the enabling environment developed under Component 1. The activities carried out by the beneficiaries of this component will eligible for the marketing support and financial schemes to be developed and implemented under Component 3.

The component will follow an integrated landscape approach (ILA) framed around multifunctionality of the forest ecosystem and driven by participatory and cross-sectoral processes. In this approach, individual farms will be managed from an integrated landscape perspective to achieve sustainable agriculture production, higher productivity, and also sustainable wood energy availability. This will also contribute to biodiversity conservation as well as improved well-being and poverty alleviation through increased and diversified incomes in every specific location (*please refer to section III B of the feasibility study for more information*).

Output 2.1. Fast start tree plantations for energy purposes established (CAFI co-financing)

Activity 2.1.1. Establishment of fast start tree plantations for energy purposes

Co-financed by CAFI and executed by FAO, this output seeks to establish approximately 2,700 ha of tree plantations² specifically for energy use. The aim is to provide a readily available sustainable fuelwood supply source from the early stages of project intervention. Indeed, these fast start actions are essential since the production of fuelwood from plantations of fast growing species like acacia³ will take at least 7-8 years. From year 1, the project will identify existing community-based initiatives with the potential to be scaled up. Potential partners have been identified during the formulation phase.⁴ The project will provide the resources required for the establishment of the plantations by selected beneficiaries, monitor implementation and document lessons learned to inform subsequent interventions.

Output 2.2. Low emission, climate resilient agroforestry and forestry systems established.

Activity 2.2.1. Awareness raising on climate-resilient agroforestry and forestry systems

A communication (information and awareness) strategy targeting smallholder farmers as well as policy makers, will be developed and implemented to provide them with detailed and context-specific information about local opportunities and benefits with respect to agroforestry and forestry systems. The communication strategy will be implemented through context specific and locally relevant communication channels and on a regular basis with a greater emphasis on the direct participation of local communities.

Activity 2.2.2 Transfer of access and use rights on government land to smallholder farmers/producers (MEF co-financing)

The project and the Government of Congo will finalize administrative and legal modalities to transfer land from PRONAR and other land available on former State farms to beneficiaries for the implementation of PREFOREST interventions. The project will support selected beneficiaries in all legal and administrative processes required under the transfer of user rights. Meetings will be organized with relevant government sectoral ministries and agencies to elaborate terms of land transfer and use rights, including duration.

Activity 2.2.3. Organization of practical training on climate-resilient agroforestry and forestry systems

Selected beneficiaries will be trained on innovative/proven and locally relevant low emission, climate-resilient agroforestry and forestry systems using the Farmers Field School methodology. Through the trainings, smallholder farmers will learn appropriate combinations of ground and tree crops and the ways in which certain tree crops can enrich the soil and improve the environment for other crops.

Training will combine off-site teaching and practical application on-site; a training program specific to the needs and constraints of each group will be developed and implemented. Beneficiaries will be organized into groups based on their interest in specific agroforestry and forestry systems as well as level of literacy, gender, social proximity, etc. A specific training format will be developed for the training of trainers.

Key elements of the FFS approach include:

- (i) Practical sessions take place in fields;

² It will be achieved taken into consideration that fast start plantations will be implemented with contributions of beneficiaries through supporting existing initiatives and/or supporting new initiatives that could be implemented rapidly. CAFI kept the same assumptions used under PREFOREST to estimate the conservative objective of 2,700 Ha for the PREFOREST proposal. This objective may be updated.

³ Acacia is not considered as invasive in Congo as per national legislation and CABI database. Acacia is already widely valorized by PRONAR, including for previous plantations established by PRONAR in Bambou Mingali area.

⁴ For example of "Société des Plantations Forestières Batéké Brazzaville", which planted 200 ha *Acacia auriculiformis* on its 10,000ha of secured land in the Plateau Batéké in 2018 for the production of fuelwood.

- (ii) Training is in groups (i.e. diverse in terms of age, gender, experience, etc.);
- (iii) Education is hands-on, experiment-based, learning through discovery;
- (iv) Local and outside knowledge are integrated through observation, critical analysis, sharing and debate;
- (v) Conclusions and implementation are based on the knowledge generated, enhancing decision-making skills;
- (vi) Learning is a continuous process – regular meetings are held at critical crop production stages.

Activity 2.2.4. Establishment of agroforestry and forestry systems

The project will support beneficiaries in establishing approximately 11,800 ha of micro and small-sized low emission, climate-resilient agroforestry and forestry systems (5-50 ha on average) in the 13 target districts. By establishing agroforestry and forestry systems for fuelwood and crop production, the project will directly reduce pressure on natural forests, leading to GHG emission reductions from slash-and-burn agriculture for agricultural expansion and fuelwood production as well as an increase in carbon stocks. At formulation stage, different agro-forestry models have been analysed by FAO and CIRAD and the models selected for PREFOREST have been assessed as ones most relevant and adapted to the specific context of Southern Congo and with the greatest impacts in terms of climate change mitigation with adaptation co-benefits.

Innovative, proven and locally relevant production systems will be developed, depending on the type of vegetation cover in the targeted districts. These production systems will specifically be agroforestry systems, integrating tree species for the production of charcoal and fruit trees with subsistence crops (e.g. cassava, peanuts, maize, beans, etc.) and market garden crops.

The agroforestry models introduced will have the following direct climate change mitigation benefits by increasing the productivity and avoiding the expansion of deforestation, as well as adaptation co-benefits (please see feasibility study Section V B for more details):

- a) increase soil quality and fertility by nitrogen fixation with use of leguminous
- b) increase carbon sequestration and improve the land-use through more forest cover
- c) introduce adapted crop varieties that are more resilient to droughts and water stress especially for cassava, fuelwood production and fruit-trees
- d) increase resilience by diversifying crops within the agroforestry system
- e) introduce the use of trees in order to protect crops from erratic rains and provide shade

The agroforestry models have been identified through the following criteria: i) crops locally used and that are part of the current diet; ii) crops and trees adapted to be produced in the area; iii) resilience to climate-stressors such as generalized temperature and water stress recurrence in order to improve climate-change resilience; iv) market demand; v) capacity to be produced by smallholder farmers; and vi) environmental and social safeguards for a category B project.

In the forested areas of Kouilou, Niari, Pool and Bouenza: forestry and agroforestry species will be integrated into the systems in the following combinations: woodfuel trees-cassava-peanuts-maize; cocoa-plantains-peanuts; fruit trees-vegetables or annual staple food crops (e.g. groundnut, pigeon pea, cassava, maize); fruit trees-vegetable crops; forest trees-fruit trees; forest trees-bananas.

In the savanna areas of Plateaux: crop-tree combinations will be developed through cropping systems under tree cover, improved fallow land with trees, hedges demarcating farms, and the Taungya technique. For example, production systems for cocoa-based agroforestry plantations in savanna areas will essentially consist of cocoa and could include other small species such as guavas, butter fruit,

soursop and citrus trees for the low stratum (0-7 meters); fruit trees (butter fruit, avocado, cola) and palm trees for the middle stratum (10-20 meters); and forest trees (kapok, limba, iroko, njansang, ayous) which recycle nutritional elements and provide some shade for the upper stratum (> 20 meters).

The beneficiaries are low-income smallholder farmers associated in micro and small-sized community-based initiatives. The project will provide equipment, improved seed materials and other agricultural inputs (i.e., organic fertilizers, materials for integrated pest and soil fertility management), and any logistic support for agroforestry and forestry work. The smallholder farmers will need to comply with the environmental and social safeguards established in advance and confirmed in agreements signed between the project and the beneficiaries. The project will cover between 50-80% of the investment cost for smallholders' groups or individuals through technical assistance and procurement of different required items (including equipment). For indigenous groups (typically the poorest part of the Congolese population) the project will cover 100% of the investment. Even though farmers will be able to plant some short-cycle crops before tree cover is established, the period before fuelwood or tree crops can be harvested means that this first investment is essential to ensure the establishment of forestry and agroforestry systems. Financial viability will be secured in the long term but the essential mitigation impact will not be achieved in the absence of this initial project investment. Once farmers are convinced of the results of the systems, it is assumed that sustainability will be ensured without the need for further support.

Activity 2.2.5. Monitoring and evaluation of overall Project interventions

The Project will conduct a performance evaluation. An M&E officer will be contracted to carry out overall monitoring throughout the Project lifetime, but independent evaluators will be contracted for the interim and final project performance evaluation.

Output 2.3. Nurseries are rehabilitated and forests are restored

The project will support the rehabilitation of nurseries and adjoining infrastructures in Ngondji (Kouilou), Dolisie (Niari), Loudima (Bouenza), and Kintélé (Pool) to scale up seedling and sapling production potential in order to provide a sustainable source of high-quality plant materials for the establishment of agroforestry and forestry systems. In parallel, the project will support the implementation of assisted natural regeneration activities in areas already degraded by slash and burn and protection of the main forest ecosystems subject to pressure from the local population in savanna-forest transition areas. More specifically, the activity will target community land subject to strong anthropic pressure due to slash-and-burn agriculture for agricultural expansion and fuelwood production.

Activity 2.3.1. Rehabilitation of nurseries (MEF co-financing)

Government managed nurseries within SNR (Service Nationale de Reboisement) premises will be restored and additional nurseries will be established. A needs assessment will be conducted to identify logistical needs for rehabilitation of existing nurseries (please refer to section F of the feasibility study for more information about the current status of nurseries). Based on the results from the needs assessment, a fast start rehabilitation plan will be developed to cater for the needs identified.

The project will also support women's and other smallholder farmer groups to establish and/or manage tree nurseries as part of the establishment of agroforestry and forestry systems.

Activity 2.3.2. Deployment of Assisted Natural Regeneration

The target area for the assisted natural generation is 5,000 ha. Assisted Natural Regeneration (ANR) will be carried out in areas already degraded by slash and burn in order to regenerate the natural forests and contribute to carbon sequestration. Criteria for selecting degraded forest areas include: (i) The level of degradation; (ii) The potential for natural regeneration; (iii) The potential for community engagement for safeguarding; (iv) The location of the areas within the Project boundaries; (v) The

potential to create synergies with ongoing and future forest restoration initiatives. The degraded forest landscape of the western part of Mayombe, as well as forest areas recently converted to agricultural land, have already been pre-identified by PRONAR and FAO for assisted natural regeneration activities. The project will refine the identification of targeted ANR areas, for 5,000 ha, through additional GIS analysis and participatory ground truthing activities. ANR methodological approaches will be defined based on site-specific environmental conditions. A community-based landscape approach will be promoted. Several technical options will be developed, each of which should be based on a combination of different silvicultural treatments, among others gazetted forest areas, fire management, enrichment planting of multiple-use species, thinning, pruning, etc.

Output 2.4. Support for the upscaling of climate-resilient agroforestry and forestry models is provided

Activity 2.4.1. Support for the upscaling of climate-resilient agroforestry and forestry models

The project will support the improvement and dissemination of selected agroforestry and forestry production systems through the establishment of demonstration and trial plots. This work will be potentially carried out by the IRF and IRA as procured parties in close collaboration with other relevant institutions, such as national universities and research institutions. These will be identified and selected, and formal partnerships will be established with the objective of advancing actions aimed at developing context-specific and locally relevant agroforestry and forestry systems. The terms of partnerships with each institution will stipulate roles and responsibilities from each party, including monitoring modalities for the effective implementation of the agreements.

The project will therefore monitor the production systems implemented by beneficiaries, measure their productivity as well as their efficacy in reducing GHG emissions and creating multiple ecosystem services, and will propose improvements along the way. Site specific model concepts will be developed by the selected research institutions based on existing identified models, then approved by a scientific committee established by the project. Demonstration plot sites will be secured for the implementation of selected concepts and site-specific technologies will be adopted consistent with the methodological approach. Data will be collected, analyzed and successful results broadly disseminated through community-friendly communication channels and eventually published in peer review journals. The local community will be the main beneficiary of the intervention.

Risks related to Component

There are a number of risks related to establishing tree plantations for energy purposes. These include potential problems in access to land and issues related to equitable benefit sharing due to limited tenure rights for some groups. Women, indigenous peoples and other marginalized groups may face barriers to participating in this activity. Disturbance to the ecosystem caused by the plantations could pose a risk of causing new diseases to emerge. Finally, there, could be risks related to labor, such as a risk that children would be employed in the plantation activities. Similar risk situations exist for the agroforestry and forestry system activities. In addition, there is a risk that these activities could increase pressures on forests due to increased investment potential or lead to pollution in the processing of products. The agroforestry activities could also lead to displacement of tenure rights, particularly for informal settlers without clear or consistent claims. Rehabilitation of nurseries carries the risks related to government (SNR and PRONAR) capacity to manage and maintain the nurseries, as well as the risk of labor abuses associated with construction and maintenance. Risks associated with Assisted natural regeneration activities include the risk that certain groups such as women and indigenous peoples could be excluded from participating. At the same time, there could be a risk that child labor is used. In addition, ANR could lead to disturbance of the ecosystem and emergence of new disease. The Technical Facility Platform will need to address risks related to inclusive participation as well as management capacity and governance risks that could threaten its functioning and

sustainability. Finally, the development of climate resilient models must pay attention to the inclusion of marginalized groups to ensure their needs and priorities are taken into account.

Component 2. Activities and potential for environmental and social risks

Activity No.	Activity	Direct Beneficiaries	Potential risks
Output 2.1. Fast start forestry systems for energy purpose established (CAFI co-financing)			
2.1.1	Establishment of fast start tree plantations for energy purpose	Local owners of tree plantations	Land access (Risk #1) Tenure & benefits (Risk#2) Participation (Risk#4) Health (Risk#8) Labor (Risk #9)
Output 2.2. Low emission, climate-resilient agroforestry and forestry systems established			
2.2.1	Awareness raising on climate-resilient agroforestry and forestry systems	1. Smallholder farmers 2. Land owners	• Participation (Risk #4) Indigenous peoples (Risk #6)
2.2.2	Transfer of access and use rights on government land to smallholder farmers/producers (MEF co-financing)	1. Farmer producer groups/associations	• Participation (Risk #4) • Capacity development (Risk #5) • Governance (#7) • Tenure and benefits (Risk#2) • Indigenous peoples (Risk #6)
2.2.3	Organization of practical training on climate-resilient agroforestry and forestry systems	1. Smallholder farmers 2. Land owners 3. Farmer producer groups/associations	Participation (Risk#4) Indigenous peoples (Risk#6)
2.2.4	Establishment of agroforestry and forestry systems	1. Smallholder farmers 2. Farmer producer groups	Land access (Risk#1) Tenure and benefits (Risk#2) Pressure on forests (Risk#3) Participation (Risk#4) Indigenous peoples (Risk#6) Labor (Risk #9) Health (Risk#8) Pollution (Risk#10) Displacement (#11)
2.2.5	Monitoring and evaluation of overall Project interventions	FAO	None
Output 2.3. Nurseries are rehabilitated and forest are restored			
2.3.1	Rehabilitation of nurseries (MEF co-financing)	SNR and PRONAR	Capacity development (Risk#5) Governance (Risk #7) Labor (Risk #9)
2.3.2	Deployment of Assisted natural regeneration	1. Smallholder farmers	Participation (Risk#4) Indigenous peoples (Risk#6)

		2. SNR and PRONAR	Labor (Risk #9) Health (Risk #8)
Output 2.4. Support for the upscaling of climate-resilient agroforestry and forestry models is provided			
2.4.1	Support for the upscaling of climate-resilient agroforestry and forestry models	1. Smallholder farmers 2. Land owners 3. Farmer producer groups/associations	Participation (Risk #4) Indigenous peoples (Risk #6)

Component 3: Strengthening national agricultural financing structures, business capacities and value chains.

Component 3 aims to support the growth of resilient community-based, low carbon agroforestry and forestry entrepreneurship in Congo by strengthening access to rural credit by beneficiaries and by developing business capacities. The Project will tackle the main barriers faced by farmers in accessing micro-finance from both the demand and supply sides. On the demand side, the Project will support the development of market-oriented agroforestry systems through training and mentoring in the development and implementation of business plans. On the supply side, the Project will support the capacity building of MFIs' loan officers in climate finance and the development of new credit/service products adapted to the needs of farmers. The Project will also support intermediation between farmers and MFIs for the effective use of new credit/service products.

Output 3.1. Beneficiaries of low carbon, climate-resilient agroforestry and forestry systems are supported in developing and implementing robust and bankable business models

The Project will support beneficiaries who implement low-emission agroforestry and forestry systems in developing robust and bankable business plans to be then funded by MFIs and private sectors. The latter will be required to ensure sustainability of operations once the initial project support is over. Support will be available for development of business plans from the beginning of the Project and will include mentoring and training beneficiaries on financial and accounting aspects, effective management of operations, as well as processing and marketing.

Smallholder farmers will be supported in this through the development of beneficiaries' business capacities and the development of bankable business plans. These activities will be carried out in coordination with IFAD-PAJE, which will provide co-financing. PREFOREST will be assisting smallholder farmers in:

- (i) Developing comprehensive and sustainable business plans suitable for presentation to financing institutions;
- (ii) Providing technical advisory services ranging from production to processing, including mechanization where required; and
- (iii) Financing of approved business plans under a shared cost financing mechanism.

In parallel to PREFOREST activities that will mainly take place at the forest frontier and be focused on climate change mitigation, IFAD-PAJE activities will be located primarily in savanna and clearing areas and geared towards strengthening climate change resilience. Accordingly, technical and financial support provided for the development and implementation of business plans under PREFOREST and IFAD-PAJE will complement and reinforce each other, while also maximizing overall PREFOREST impacts. In particular, IFAD-PAJE will be addressing one of the main constraints to marketing of

produce, namely training and leverage of funding for storage and transportation. Direct beneficiaries of all these activities are smallholder farmers, who will benefit from new skills and knowledge in respect of the development and implementation of bankable business plans.

Activity 3.1.1. Development and implementation of business plans in forest areas

The business plans are an essential tool to guarantee sustainability of the interventions and will be used for the identification of the investment necessary for the establishment of the agroforestry systems (output 2.2.) after the initial phase of project support. These business plans will also emphasize the whole products value chain, by linking the producers to markets and by including other costs which could be related to transportation, storage and transformation. They will be used to leverage additional funding from MFIs (output 3.3.) and for the establishment of partnerships with private sector entities (Output 3.4.).

The use of Rural Invest – a free FAO software – will be promoted for the development of business plans. Particular emphasis will be placed on building women and youth organizations' capacities with regard to business plan implementation and monitoring.

Selected beneficiaries will be supported in the development and implementation of business plans. Each beneficiary will be assigned a personal mentor for targeted support for the development and implementation of his/her business plan, and each mentor may support several beneficiaries at the same time (between 5-10 beneficiaries each). Mentors will need to be familiar with business development and project management in the agriculture and forestry sectors, as well as having some knowledge of the local environment.

Activity 3.1.2. Development and implementation of business plans for beneficiaries in savanna areas (IFAD co-financing)

In parallel to the development and implementation of business plans in forested areas, the project will support the development and implementation of business plans specific to agriculture development, including agroforestry, in savanna areas under IFAD-PAJE co-financing. These business plans will also emphasize the whole products value chain, by linking the producers to markets and by including other costs which could be related to transportation, storage and transformation. The approach in this regard will be similar to the one in forest areas, the main difference being the type of landscape.

Output 3.2. Capacities of national credit institutions (banks and microfinance institutions) are strengthened to increase credit supply for low carbon, climate-resilient agroforestry and forestry sectors and to support the Project's initiatives

The project aims at leveraging resources from microfinance institutions in order to finance part of the business plans to ensure the sustainability of the mitigation impact and enhanced climate resilience. The institutions will be supported in developing appropriate credit lines for these purposes. To this end, strategic partnerships will be established with national microcredit institutions in order to increase credit availability for the climate-resilient agroforestry and forestry initiatives created by the beneficiaries. Several financial institutions with interest in leveraging financing for investment in the agroforestry and forestry systems promoted by the Project have been identified during the formulation of the Project and have already sent letters of intent to support the project.

Activity 3.2.1. Capacity building of national financial institutions on rural finance for agriculture (IFAD co-financing)

With IFAD-PAJE co-financing, the Project will build the capacity of selected MFIs in rural finance for agriculture as per PAJE project approach, including agro-forestry. A methodological guide will be

developed on rural finance for agriculture and this guide will be used as a basis of the capacity building to be provided Ministry of Agriculture (MoA) executing IFAD co-financing. Technical support will be provided to the selected MFIs on a regular basis so as to mainstream rural finance for agriculture development in their operations.

Activity 3.2.2. Capacity building of national financial institutions on green investment in agroforestry and forestry sectors

A capacity needs assessment will be carried out with respect to financial products and services that best fit the needs of beneficiaries. Local MFIs will be assisted to develop responsible green investment criteria specific to the low carbon climate-resilient agroforestry and forestry sectors, taking account of the need to better understand and manage associated risks. Loan officers, who will work directly with the beneficiaries and support them in developing their business models, will be given specialized training. Specific attention will be paid to mainstreaming the Project's outputs (e.g. green investment criteria, micro-credit products) into MFI's financial operations for sustainability.

Training for banks and microfinance institutions will include information on the particular constraints faced by women in accessing finance and financial products in order to raise awareness on this issue. There will also be efforts to tailor financial products to women's needs.

External evaluations of the MFI that have received training will be conducted on a regular basis in order to identify gaps and to provide corrective actions to improve capacity building. These evaluations will look specifically into how the knowledge from the training is being integrated into the regular financial operations of the MFI.

Activity 3.2.3. Development of a national financial inclusion strategy and formalization of MFIs (IFAD co-financing)

The project will support the development of a national financial inclusion strategy with special emphasis on agroforestry and forestry financing. The main beneficiaries of this intervention – and of the project – are smallholder farmers who will benefit from new financial products and services, as well as MFIs, whose capacity will be strengthened to widen their portfolios to the agro-forestry and forestry sub-sectors. Particular attention will be given to gender and women's access to financial institutions.

Under IFAD-PAJE co-financing, a methodological approach for the development of a national financial inclusion strategy with special emphasis on agroforestry and forestry financing will be developed and approved through widespread consultation. The strategy will then be elaborated based on the approved methodology and the results validated at a national workshop. In parallel, up to 20 MFIs will be selected based on their potential for operations in the agriculture and forestry sectors. These MFIs, will eventually serve as reference financial institutions with respect to climate finance in general and rural financing for agroforestry and forestry in the Congo in particular. In order to become part of the financial inclusion strategy, these MFI's will need to go through the formal accreditation process. An institutional analysis of the shortlisted MFIs will be conducted to identify relevant gaps with respect to this process. The project will then provide support to fill the gaps identified with a view to completing and following up on this as it will be an important part of ensuring the sustainability of funding of activities contributing to climate change mitigation.

Output 3.3. Locally relevant financial instruments are developed to support low carbon climate-resilient agroforestry and forestry initiatives

The Project's sustainability is based inter alia on the stimulation of an affordable supply of credit suitable for the forestry and agricultural sectors. An increased supply of credit to support the

development of agroforestry and forestry initiatives is considered essential to stimulate the expansion of rural Congolese entrepreneurship, mobilizing the capital of micro and small-sized initiatives carried out by smallholder producers and associations, and support the development of value chains.

The project will partner with national and local MFIs (MUCODEC, CAPPED, CODEC, COFINA, Hope Congo and FCECM) to develop microcredit and meso-finance products with conditions favourable to the adoption of climate-friendly practices based on predefined investment criteria that builds on environmental and social safeguards also to be elaborated or strengthened with project support (characterization of the MFIs are detailed in the Feasibility Study, Section C). The main beneficiaries of this intervention are smallholder farmers, who will benefit from the new credit lines, and MFIs which will increase their portfolio.

Activity 3.3.1. Identification and development of suitable credit lines for forestry and agricultural sectors

An in-depth diagnostic analysis of potential micro-finance products and services suitable for local conditions will be carried out. Based on the findings of the analysis, targeted support will be provided to selected micro-finance institutions for the development and mainstreaming of new credit lines. These could offer credit with low interest rates and with long-term maturity periods, in line with harvest cycles and to facilitate the adoption of best adaptation and mitigation practices along the agroforestry and forestry value chains. In the framework of the project, the option of considering the project's technical and financial support as warranties could be considered as this support would provide the guarantee that the beneficiary was already familiar with and therefore capable of carrying out the agroforestry system. The project will monitor and evaluate the suitability of the new credit lines with respect to their accessibility by beneficiaries and initiate corrective actions as needed.

Activity 3.3.2. Development of inclusive financial products and services for agri-food value chain (IFAD co-financing)

Under IFAD co-financing, the project will develop and mainstream inclusive financial products and services for agri-food produced under the agroforestry system into financial institution operations, which include value chains promoted by PREFOREST under component 2. A mapping analysis will be conducted to identify relevant products and services that can be further adapted to the agri-food sector. The project will then work with relevant MFIs to adapt and mainstream the locally relevant and agri-food friendly financial products and services into selected MFI operations, which will include transportation, storage and transformation of the crops. The performance of new financial products and services will be evaluated in terms of their inclusiveness potential on a regular basis and appropriate actions taken to improve results.

Activity 3.3.3. Facilitation of interactions between beneficiaries and national financial institutions for the effective use of new financial products and services

The Project will support various interventions aimed at facilitating interactions between MFI and producers adopting climate-friendly practices. The objective of the partnerships is to leverage financing for the implementation of robust business plans developed by the beneficiaries. Approximately 900,000 USD are targeted for the micro-finance institutions to complement costs for the establishment of the small size agroforestry systems. The availability of this seed money will provide an incentive for the MFIs to provide additional resources. The sum is well below the absorption capacity of the MFIs which has been evaluated at around 5M USD from only MUCODEC, COFINA and HOPE, because of the strong support and partnership provided by the project considered by the MFI as warranties of their involvement. More commitment from the other MFIs are expected during the strengthening of the partnership with the MFIs and the development of more adapted financial services/ products expected.

Output 3.4. Access to market by the beneficiaries is facilitated through the development of purchase agreements and sales platforms

The Project will also link producers to the market by supporting the development and implementation of long-term, fair price purchase agreements between groups of beneficiaries and selected agro-industrial enterprises in Congo. Following the stakeholder consultations and technical assessments undertaken during the formulation of the PREFOREST (see FS Annex 7) as well as supplementary work carried out in the project area in late 2020 to enrich the analysis, four primary avenues to sell and market crop and commodity products from beneficiaries' farms have been identified, namely: (i) company food enterprises; (ii) institutional off-takers; (iii) local farmers' markets; and (iv) urban wholesalers and retailers through rural middlemen. For each group, names of specific companies/markets, the products in which they deal and their location are given in the feasibility study. Many Letters of Intent including amounts of produce that they would purchase are already secured are provided in the Annex 23 (Support letters from partners).

Activity 3.4.1. Facilitation of the establishment of purchase agreements

The project will identify potential off-takers – in addition to those already identified and explore opportunities to establish purchase agreements. Four primary avenues available to sell and market crop and commodity products from beneficiaries' farms have been indicated above.

Institutional off-takers will be more active in commodities requiring transformation, such as cocoa and groundnuts. The project's groundnuts production could be easily absorbed by Eco-Oil which is aiming to expand the country's oil production to an amount that would require 160,000t of shelled groundnuts from only 26,000 tonnes absorbed in 2015 (interest in project production has been confirmed in a letter of intent). COFCAO is ready to invest more than provided for under the project in order to increase cocoa production as cocoa demand has been identified and production is currently especially low in the south of the country where the project will be based (this has also been indicated in the letter of intent). SCDIE is an important off-taker for cassava, avocado and plantains and the Cluster Union pour une agriculture compétitive is ready to purchase important quantity of cassava, safou, plantain, avocado, orange and groundnuts.

PREFOREST has identified and initiated discussions with a dozen rural middlemen during the formulation phase in each of the five departments for the supply on cassava, maize, plantains; safou, aubergines, fuelwood and different fruits. During implementation, the project will link these middlemen to producers through its market platform (see activity 3.4.2.) to coordinate supply and demand and to facilitate negotiation of fair prices.

PREFOREST has also initiated consultation with several local restaurants and chefs in each of the five departments in the project area during the formulation process. To strengthen networking and connection during implementation, the project will use workshop mingles, farm and restaurant tours, and locally sourced food events to bring producers and restaurants closer together. The production of plantain, cassava, oca, aubergine and different fruits will focus on these local markets.

The country needs on fuelwood is huge. For the supply of Brazzaville and Nkayi only, 47,500 ha additional plantations would be needed and the project objective could contribute to this need. To be noted that this need has been confirmed during consultation at local level, including with local Government.

Based on the contacts already established with off-takers and others to be prospected during project implementation, the demand will already cover the yearly production of many crops produced under the agro-forestry systems established by PREFOREST, such as cassava, cocoa, groundnut, avocado and

orange. PREFOREST will thus facilitate the negotiation of prices and the signature and formalization of purchase agreements between respective off-takers and beneficiaries.

The project will draw on FAO’s “Forest and Farm Facility” (FFS) experience with respect to the establishment of short market circuits. This approach is based on:

- Access to information and market analysis: facilitating knowledge exchange and market intelligence among producers, who can work towards getting a better price for their products and identifying potential business partners that can help them access new markets. Market information is collected from remote rural areas and crosschecked with market data from across the regions and central level. This system is helping farmers become more aware of market trends and to be better organized in their negotiation with buyers.
- Organization of local forest and farm producers (project beneficiaries) into strong groups: strengthening the horizontal linkages between such producers and their enterprises has tremendous potential for scaling up their influence and creating thriving rural economies for the long term. The lack of such groups has been identified as a major impediment to successful marketing of products such as maize where substantial demand exists for animal feed.
- Negotiating prices: this action will rely on the information gathered on food prices. More efficient results are observed when producers are grouped within associations or cooperatives. PREFOREST beneficiaries will be connected in order to access the right market information and obtain the technical support needed for successful partnership with potential off-takers.

Activity 3.4.2. Support of local market platform and operationalization of purchase agreements with buyers (IFAD co-financing)

The Project will establish market platforms bringing together buyers and producers for the operationalization of purchasing agreements. The Project will support interactions within the platforms by coordinating demand and supply, delivery and other relevant interventions to facilitate the effective implementation of agreements. For example, PREFOREST, in association with MAEP, will support the organization of community market days, joint sales, and the development of brands (name/logo, etc.) to communicate the quality of products to consumers. Producers will also receive technical support, mainly training, for the improvement of transportation, storage and potential transformation of their production, including for those produced with GCF proceeds.

Risks related to Component 3:

Activities related to support for business planning run the risks of excluding certain marginalized groups such as women and indigenous peoples. In some cases, exclusion may be linked to lack of tenure rights. The activities related to building the capacity of financial institutions also run the risk of excluding services to marginalized groups as well as risks related to management capacity needed to sustain improvements and implement changes. These same risks apply to the development of financial instruments, purchase agreements, and sales platforms. They all need to address the needs and priorities of marginalized groups.

Component 3: Activities and potential for environmental and social risks

Activity No.	Activity	Direct Beneficiaries	Potential risks
Output 3.1. Beneficiaries of climate-resilient agroforestry and forestry systems are supported in developing and implementing robust and bankable business models			
3.1.1	Development and implementation of business plans in forest areas	1. Smallholder farmers 2. Farmer producer groups/associations	Tenure and benefits (Risk#2) Participation (Risk#4) Indigenous peoples (Risk#6)

3.1.2	Development and implementation of business plans for beneficiaries in savannah areas (IFAD co-financing)	1. Smallholder farmers 2. Farmer producer groups/associations	Tenure and benefits (Risk#2) Participation (Risk#4) Indigenous peoples (Risk#6)
Output 3.2. Capacities of national credit institutions (banks and microfinance institutions) are strengthened to increase credit supply for climate-resilient agroforestry and forestry sectors and to support the Project's initiatives			
3.2.1	Capacity building of national financial institutions on rural finance for agriculture	MFI	Capacity development (Risk #5)
3.2.2	Capacity building of national financial institutions on green investment in agroforestry and forestry sectors	MFI	Capacity development (Risk #5)
3.2.3	Development of a national financial inclusion strategy and formalization of MFIs (IFAD co-financing)	MFI and the local population	Participation (Risk#4) Capacity development (Risk #5) Indigenous peoples (Risk#6)
Output 3.3. Locally relevant financial instruments (e.g. lines of credit and/or revolving funds) are developed to support climate-resilient agroforestry and forestry initiatives			
3.3.1	Identification and development of suitable credit lines for forestry and agricultural sectors	1. MFI 2. Farmers (smallholder and farmer producer groups)	Participation (Risk#4) Indigenous peoples (Risk#6)
3.3.2	Development of inclusive financial products and services for agrifood value chain	1. MFI	Participation (Risk#4) Indigenous peoples (Risk#6)
3.3.3	Facilitation of interactions between beneficiaries and national financial institutions for the effective use of new financial products and services	1. MFI 2. Smallholder farmers	Participation (Risk#4) Indigenous peoples (Risk#6)
Output 3.4. Access to market by the beneficiaries is facilitated through the development of purchase agreements and sales platforms			
3.4.1	Facilitation of the establishment of purchase agreements	1. Smallholder farmers and farmer producer groups 2. Off-takers	Participation (Risk#4) Indigenous peoples (Risk#6)
3.4.2	Support of local market platform and operationalization of purchase agreements with buyers (IFAD co-financing)	1. Smallholder farmers 2. Off-takers	Participation (Risk#4) Indigenous peoples (Risk#6)

SELECTION CRITERIA FOR BENEFICIARIES

The beneficiaries (smallholder farmers) of the Project will be selected by the PMU according to the following criteria:

- Dependence to agriculture, natural resources and forest, and proximity to forest area (potential actors for deforestation and forest degradation);

- Low-income level (up to 2 USD/day, as defined by the Ministry of Finance of Congo);
- “Ownership” of degraded fallow and plot with high restoration potential;
- Vulnerability of key livelihoods to climate change impacts;
- Insecure land rights for women, indigenous people and smallholders farmers
- No access / very limited access to public finance; and
- None or limited access to micro-finance institution
- Coherence with plans (developed under Component 1) and
- Association or group membership, linked to the Technical Facility Platform

The criteria for the selection of business plans in regard to Activity 3.1.1 & 3.1.2. include the agro-forestry or forestry nature of the potential beneficiaries initiatives (purely agricultural initiatives will not be funded), technical soundness of proposals, financial viability as demonstrated in the business plan, coherence with the plans developed under Component 1. Minimal condition will be required like absence of fraud sentences (background check records), absence of debts for producer groups, demonstrated land access right either through land title or through formal agreements with landowners. Specific consideration may be given to women-driven initiatives. Other criteria will be added during the Project implementation, as per the specific context in the targeted area. If needed, a contingency requirement may be developed whereby the Project agreements include the participation of, and signature by women (wives) even if they are not recognized as owners or joint owners. Such a requirement may be a first step to recognizing women’s rights in relation to land and resources.

2.4. Implementation Procedures

Project Governance will be carried out by two entities that will be mandated to supervise the Project and its technical framework. These entities are: (1) the Steering Committee (SC) and the Technical Committee (TC). Their roles are described below:

The Project Steering Committee (SC) will act as a decision-making organ and provide technical and strategic guidance by ensuring that links and appropriate coordination are maintained with relevant programmes/projects of all other United Nations agencies, as well as international environmental agreements, particularly the United Nations Framework Convention on Climate Change (UNFCCC), the Convention on Biological Diversity (CDB) and the United Nations Convention to Combat Desertification (CCD). The SC will be chaired by the government (MEF), with FAO as Vice-Chair, and will be composed of representatives from various government entities who will support implementation, strategic development partners, the GCF focal point and the head of the Project Management Unit (Chief Technical Advisor) as well as civil society representatives. The SC will hold meetings at least twice a year to supervise the effective implementation of the Project, ensure sound management and propose relevant recommendations. Decisions of the SC will be based on agreement by the majority of members. Final decision of the SC will require consent by FAO.

The Technical Committee (TC) will ensure the technical soundness of the Project by providing technical advice to the PMU and ensuring coordination of the implementation of the Project with government agencies. The decisions of the TC will be based on agreement by the majority of members. FAO consent will be required for all TC decisions. It will report to the SC on the effective monitoring of procedures, as well as the procurement of products and deliverables essential to the Project. The TC will specifically support the PMU in supervising project activities, and will serve as a communication channel to coordinate the implementation of activities, particularly with government agencies. It will be co-chaired by the government (MEF) and the FAO and will be composed of representatives from

government entities who will support implementation. If necessary, representatives of development partners, NGOs, research institutions and civil society will be invited to attend meetings to consolidate the technical soundness of the Project. The TC will meet 4 times a year, once in each quarter.

Table 2: Breakdown of roles for Project implementation entities by components

Funding	Executing entity	Components / Activities	Possible procured parties and partners
GCF	FAO	<p>Component 1: Activity 1.1.1; Activity 1.2.1; Activity 1.2.2;</p> <p>Component 2: Activity 2.2.1; Activity 2.2.3; Activity 2.2.4; Activity 2.2.5; Activity 2.3.1; Activity 2.3.2; Activity 2.4.1.</p> <p>Component 3: Activity 3.1.1; Activity 3.2.2; Activity 3.3.1; Activity 3.3.3; Activity 3.4.1.</p>	<p>MAFDP, MEF, MEH, MRSIT, IRF, IRA</p> <p>MEF, MAEP, NGOs and private partners to be confirmed.</p> <p>Private partners and international organizations (e.g. MUCODEC, HOPE, CAPPED, COFCAO, Eco-Oil, WFP, etc.).</p>
IFAD	MAEP	Component 3: Activity 3.1.2; Activity 3.2.1; Activity 3.2.3; Activity 3.3.2 and Activity 3.4.2	To be confirmed
CAFI	FAO	Component 2: Activity 2.1.1.	GRET, ID

The PMU will handle coordination and implementation of the entire Project. The role of the PMU is to ensure that work on the three components is conducted as consistently as possible. The PMU will be responsible for awarding contracts, supervising the activities implemented by the various procured Parties (government, NGOs, private actors) and monitoring and evaluating compliance with safeguards. The PMU will work in close collaboration with various ministries and government agencies, which have a key role to play in supporting implementation of certain Project activities. It will receive technical assistance from FAO and will report to the Technical Committee (TC) and the Steering Committee (SC). All decisions by the PMU will require consent by FAO. The PMU will be headed by an international Chief Technical Advisor (CTA), an FAO staff member, who will have an overview of the Project. The CTA will work together with the National Coordinator for the Project who will be appointed by the MEF thereby ensuring strong ownership of the Project by MEF and a smooth hand over at Project completion. Each government entity (PRONAR, SNR, MAEP, MAFDP, and MTE) will designate a focal point for PREFOREST to monitor aspects of Project implemented by the government and report to the CTA. The PMU will meet every week or more often if necessary, to monitor Project activities. PMU personnel will include recruited experts who will work in close collaboration with the government personnel made available to the Project.

3. ENVIRONMENTAL AND SOCIOECONOMIC SITUATION

3.1. Departments of Pool and Plateaux

The departments of Pool and Plateaux, located in the south-east part of the country, respectively cover 33,955 km² et 38,400 km². The department of Pool has a population of 236,595 with a density of 7 inhabitants/km² and a growth rate of 2.1%. The department of Plateaux has a population of 181,235 with a density of 4.7 inhabitants/km² and a growth rate of 2.1% (GPHC 2007). Pool is mainly covered by savanna (45.9%), rural complex and field mosaics (35%) and the rest is forest (19%). The same applies to Plateaux, with 47.8% savanna, 29% rural and mosaic complex and 16.6% forest cover. The

main causes of deforestation and forest degradation are illegal logging of the forest, particularly for fuelwood, slash-and-burn farming and infrastructure development and, to a lesser extent, mining activities. The total deforestation rate between 2000 and 2010 was 3.82% (30,000 ha) for Pool and 2.02% (20,400 ha) for Plateaux. Land-use changes in Pool and Plateaux were respectively 96.8% and 94.2% for agriculture and 2.9 and 2.2 % for infrastructure. The production of charcoal to supply the city of Brazzaville is significant in the two departments with an estimated volume of 300,000 tons per year, corresponding to the destruction of a gallery forest area of 5,000 ha in Pool. This trend has worsened with demographic growth, poverty and a lack of alternative energy sources.

3.2. Department of Bouenza

The Department of Bouenza (capital Nkayi, fourth largest town in the country with 70,000 inhabitants) is the most populated department in the Congo (20% of the national population) with a population density that is substantially higher than in the rest of the country at 26 inhabitants/km². In this department, slash-and-burn farming is practiced to produce cassava, plantains, peanuts and maize, essentially for local production (Nkayi, Madingou, Dolisie) and to supply the town of Pointe-Noire and even Brazzaville. This area is characterized by substantial degradation of lowland forest areas and patches of forest in savanna with enriched soils. It is estimated that over 90% of forest degradation is due to agricultural clearing in this department. Furthermore, there is high demand for firewood to bake clay bricks in Bouenza, the main construction material for dwellings (e.g. district of Nkayi).

The district of Madingou, situated between the agro-ecological area of the Niari valley and that of the Plateaux des Cataractes, has an average density of 27 inhabitants/km². This indicator is currently translated by a total loss of forest groves in the district as a result of slash-and-burn farming. Related to its long tradition of large colonial agricultural concessions, the farmers in the district have embraced the use of tractors for several decades to increase the agricultural area from 0.1 to 5 ha per household, or even 10 ha in some cases. It is, without a doubt, one of the districts in the country where commercial farming is the most entrenched.

In the district, the takeover by agricultural land, exacerbated by short recurrent fallow periods, has generated a shortage of fuelwood and has compromised the natural regeneration of shrubs and trees. However, in order to address this issue, people are planting *Senna siamea* in home gardens and in agricultural plantations for commercial purposes and to cover household energy needs. A field mission highlighted the fact that the initiative is expanding throughout the villages in the district, as a result of highly positive market reports of firewood used to bake bricks and supply households in Nkayi. The initiative also came up with highly promising agroforestry variants, in which cassava, maize, *Cajanus cajan* and peanuts are planted between the rows when the trees are still very young. When the canopy is contiguous, farmers grow shade-loving plants, such as ginger, Guinea pepper, taro or macabo undergrowth.

Like the district of Kayes and the town of Nkayi, the district of Loudima in Bouenza is a highly cosmopolitan geographic entity, due to its position along the Congo-Ocean Railway and the national road between Pointe-Noire and Brazzaville and, particularly, further to its long agricultural tradition, which has attracted numerous people from neighboring districts and even bordering countries. Formerly, it hosted the Loudima Fruit Station, the first savanna forestry research station of the Tropical Forest Technical Center (*Centre Technique Forestier Tropical* - CTFT), the Pilot Station of the Congolese Forest Office (*Office Congolais des Forêts*), currently known as the National Reforestation Service (*Service National de Reboisement* - SNR), the Maléla Agronomic Research Station (*Station de Recherche Agronomique de Maléla*), later renamed the Loudima Agronomic Research Center (*Centre de Recherche Agronomique de Loudima* - CRAL). This situation promoted the development of peasant farming, characterized by mechanized ploughing, alongside other forms of labor organization, such as the cooperative movement, family labor, rotating service provision and hiring of occasional labor.

In Loudima, land-use rationales refer to the economic role of this agricultural system. Traditional agriculture, with a preponderance of fields based on slash-and-burn farming, represented 95% of

farms in Congo in 2011, versus 85% in 1980 (Sofreco, 2011), before the National Conference of 1991. This agriculture has a relatively marginal place in the composition of the Congolese Gross Domestic Product but, beyond official figures, this component of agricultural activity plays an essential role through the additional revenue it generates in the form of family farming. This importance cannot be adequately grasped by official statistics, as a large majority of agricultural stakeholders are not registered by the administrative departments.

The substantial diversity of products derived from cassava in the district highlights the extent to which the economic and food production contribution of this sector is associated with the social and cultural importance of the district. The farmers' cultural roots are reflected in the farming rationale, plant combinations and cultivated varieties.

The sociocultural dimension of the cultivation technique is as important as its economic contribution for all communities. Beyond its role of food production for family consumption, and possibly the sale of part of the production, slash-and-burn farming integrates knowledge and a symbolic aspect, passed from generation to generation, which are, to varying degrees, characteristic of the composite communities of the district.

However, the recurrent farm mechanization that is practiced almost routinely throughout the district means even greater culpability for slash-and-burn farming in terms of adverse effects on the environment. There are tractors of varying sizes, from small to unsuitable, very robust specimens, whose deep plowing weakens the structural stability index of the soil and severely compromises the natural regeneration of numerous species, by burying the seed bank very deep in the soil.

The high level of demographic growth also raises the issue of the suitability of the space devoted to this hybrid agriculture combining mechanized ploughing with manual labor, and the need to practice this type of farming with respect for the environment, crop rotations, fallow periods and shifting cultivation.

3.3. Departments of Kouilou and Niari

The Departments of Niari and Kouilou are found in the extreme south-west of Congo and cover areas of 25,925 km² and 13,500 km² respectively. Niari has a population of 240,074 with a density of 9.3 inhabitants/km² and an annual growth rate of 1.3%. Kouilou has a population of 91,955 with a density of 6.8 inhabitants/km² and an annual growth rate of 0.9% (GPHC 2007). These departments are more densely populated than Pool and Plateaux. Niari and Kouilou are respectively covered with 58% and 69% forest, 27.2% and 15% savanna and 9.4% and 3.8% rural complexes. The main causes of deforestation and degradation are legal and illegal logging for the production of wood and fuelwood, slash-and-burn farming, mining activities and oil production (Kouilou) and infrastructure development (accelerated municipal development). Deforestation between 2000 and 2010 was 2.13% (37,100 ha) in Niari and 2.72% (29,800 ha) in Kouilou. The respective land-use changes were 87% and 94.5% for agriculture and 14.6% and 3.9% for infrastructure. The production of charcoal in these departments to supply Pointe-Noire is significant and it is estimated that 25,000 ha of forest could be lost in 10 years in Kouilou as a result of this activity. Migratory flows have a considerable impact on forest degradation through agricultural activities and logging for charcoal. Furthermore, substantial degradation of the Mayombe forest near Dolisie on National Road 1 (RN1) can be noted. In addition, mining projects are under preparation in Niari, as well as two large-scale farming projects, which will result in deforestation of large swathes of forest.

The environmental and social conditions in the departments targeted by the Project are presented in the tables below, as well as the drivers of deforestation and forest degradation, future trends and potential mitigation measures.

Table 3: Socioeconomic and environmental conditions in the Department of POOL

Soil and climate characteristics	Human density, product transportation	Main drivers of degradation	Possible development of degradation and deforestation drivers in the targeted areas
<p>Relief: Moderate relief plateau interspersed with dry valleys of altitudes inclusively between 450 and 650 m in zone 1. Zone 2 is hilly with an altitude of between 350 and 550 m.</p> <p>Climate: Subequatorial climate zone typical of the lower Congo. Marked dry season between June and September. Total rainfall between 1,350-1,650 mm/year in zone 1 and between 1,300 and 1,400 mm in zone 2. Mean average temperature: 25°C.</p> <p>Natural vegetation: In zone 1, <i>Trachypogon thollonii</i> and <i>Hyparrhenia diplandra</i> savanna and <i>Loudetia savanna</i> with a sparse to absent shrub layer composed of <i>Hymenocardia acida</i>, <i>Annona arenaria</i> and <i>Vitex madiensis</i>. Presence of mesophilic forest patches located on the plateau and lowland borders. In zone 2, dense to moderately dense shrub savanna composed of <i>Hymenocardia acida</i>,</p>	<p>Population densities: Low on average in Pool (7.3 inhabitant/km²). In zone 1, densities range from 3 to 7 inhabitants/km² with 29 and 30,000 inhabitants in the Ignié and Ngabé districts respectively. In zone 2, densities range from 5 to 24 inhabitants/km² with 35,000 and 16,000 inhabitants in the Kinkala and Ngoma-Tsétsé districts respectively. The proximity of Brazzaville is an advantage for material supplies and product exportation with its ± 2 million inhabitants.</p> <p>Agriculture Traditional cropping system: slash-and-burn agriculture, polyculture and fallow fields. Territory dedicated to agriculture greater in zone 1 than zone 2. In zone 1, access to water limits agricultural development.</p>	<p>Zone 1 and 2: Slash-and-burn farming (cassava, maize, plantains, peanuts) essentially for local consumption and to supply the city of Brazzaville. Production of charcoal prior to cultivation of forest zones to supply the city of Brazzaville.</p> <p>With regard to the two target areas: lack of governance, mostly ineffective local authority control mechanism aggravated by the post-conflict situation.</p>	<p>Subsistence farming Demographic growth. Increased pressure on forest areas from slash-and-burn farming and charcoal-making with the risk of reduced fallow periods and soil impoverishment.</p> <p>2) Lack of alternatives to slash-and-burn farming, retreat of forest fronts in the massive tracts in south Pool (zone 2 and beyond) and degradation of lowland forests in savanna areas (zone 1).</p> <p>Logging: 1) Regular increase in the demand for wood on the domestic market (artisanal sawing) and poles for construction. 2) Persistent weak administrative control mechanisms. 3) Zone 2: post-conflict situation, and possibly insecure area.</p>

<p><i>Annona arenaria</i> and degraded gallery forests.</p> <p>Soils: Impoverished yellow ferralitic, sandy to sand-clay soils developed on sandstone and sandy silts (Batéké plateaus) in zone 1.</p> <p>Very limited agricultural potential on the sandy zones (zone 1) due to the chemical poverty of the soil that is, however, suitable for forest plantations.</p> <p>In zone 2, the soils are also formed from a schisto-sandstone series and polymorphic sandstone. The soils are generally sandy, acid and poor in exchangeable bases.</p>	<p>Cattle, goat/sheep and poultry farming are predominant.</p> <p><u>Transport of products to Brazzaville:</u></p> <p>Via the RN2 for zone 1.</p> <p>Via the RN1 ex. from zone 2 and secondarily via the Brazzaville-Pointe-Noire Railway for zone 2.</p> <p>Important secondary track network in zone 2 but transport depends on weather conditions (tracks not maintained).</p>		
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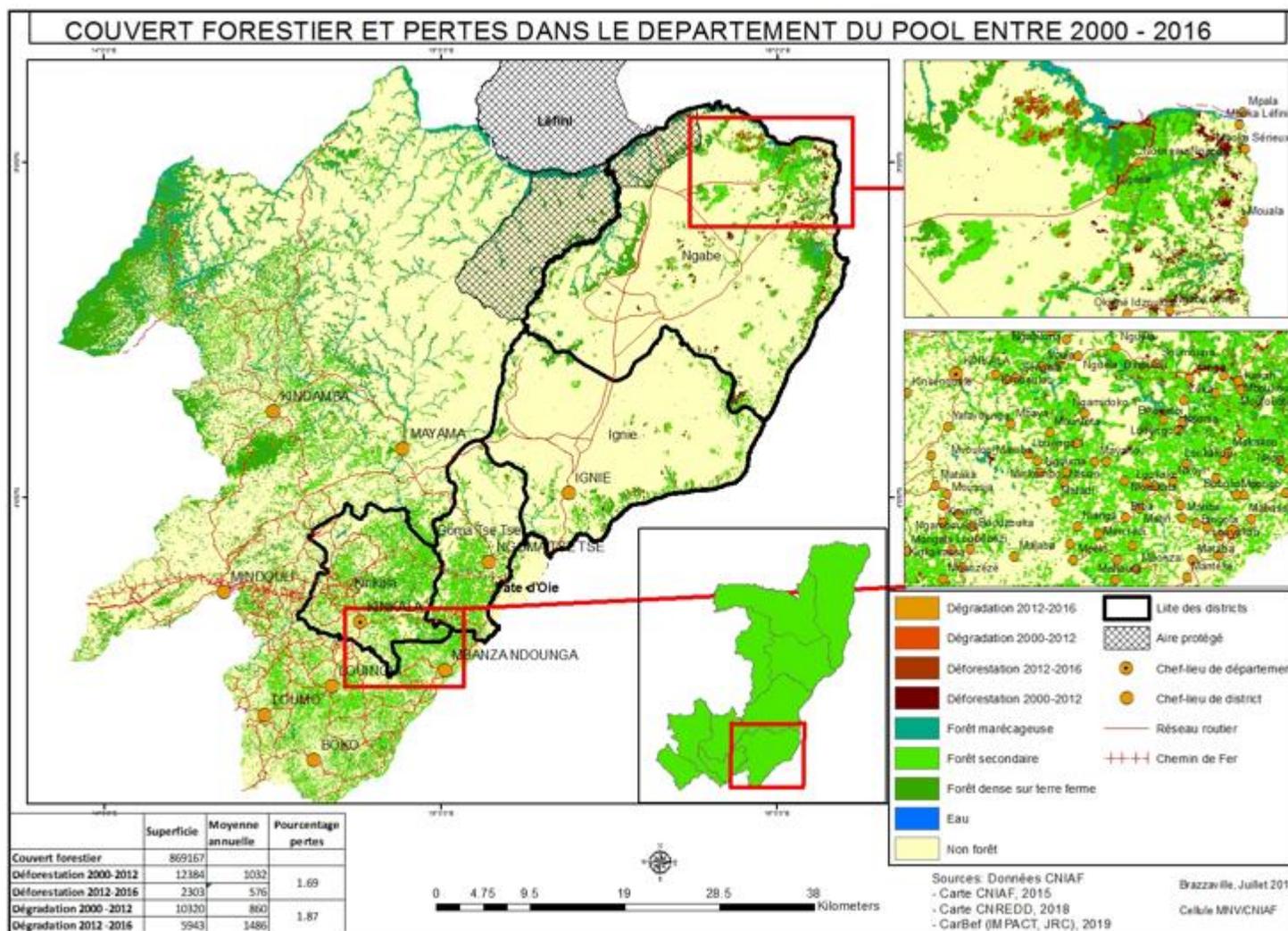


Figure 2: Deforestation and degradation hotspots and potential locations for the Project in the Department of Pool

Source: CNIAF and FAO (2019)

Table 4: Socioeconomic and environmental conditions in the Department of Plateaux

Soil and climate characteristics	Human density, product transportation	Main drivers of degradation	Possible development of degradation and deforestation drivers in the targeted areas
<p>Relief: Plateau area in the Ngo region (550-500 m in altitude, PRONAR (<i>Programme National d'afforestation et de Reboisement</i> [National Afforestation and Reforestation Programme]) block G) dissected by dry or active valleys. The slope is slightly oriented towards the north and east with an average altitude of 300 m at the bottom of the valley and bordering the Congo River.</p> <p>Climate: Subequatorial transition zone between the lower Congo and subequatorial climates. Marked dry season between June and September. Total rainfall: between 1,500 and 1,800 mm/year and between 1,200 and 1,400 mm bordering the Congo River. The mean average temperature is 25°C.</p> <p>Natural vegetation: All blocks are located in savanna areas with mesophilic forest patches and gallery forests bordering streams. There are two types of savanna: <i>Trachypogon thollonii</i> and <i>Hyparrhenia diplandra</i> savanna, <i>Ctenium newtonii</i> with a</p>	<p>Population densities: Low on average in the department (4.5 inhabitant/km²). The districts of Ngo and Mpouya are the least populated with 16,700 and 9,200 inhabitants respectively. Gamboma district is the most populated with 43,200 inhabitants.</p> <p>Agriculture Traditional cropping system oriented towards low-yield food production: slash-and-burn agriculture, polyculture and fallow fields. The main crops are cassava, yams, peanuts, and bananas in the district of Ngo. Small cattle, goat and sheep population. The use of fertilizers and plant protection products is rare.</p> <p>Transportation of products to Brazzaville: Essentially via the RN2, secondarily via the port of</p>	<p>Slash-and-burn farming (cassava, maize, bananas, peanuts) is the main driver of degradation of forest areas. Production essentially for local consumption, with limited exports to Brazzaville. Bush fires (burning of savannas and cleared areas) are also a significant threat to the reestablishment of degraded forest cover and the replenishment of the soil fertility potential in fallow areas.</p> <p>Lack of governance, ineffective control mechanisms by the authorities despite the proximity of the Léfini fauna reserve.</p>	<p>1) Continued demographic growth although population densities are still low in the department at this time. Expansion of the capital's sphere of influence to cover its supply requirements. Increased pressure on forest areas from slash-and-burn farming and charcoal-making with the risk of reduced fallow periods and soil impoverishment.</p> <p>2) No alternative to slash-and-burn farming involving the retreat of forest fronts in the various large forest tracts and exacerbation of impact in the Léfini reserve.</p> <p>3) Persistent weak administrative control mechanisms.</p>

<p>sparse shrub layer (<i>Hymenocardia acida</i> and <i>Annona arenaria</i>); <i>Hyparrhenia acida</i> and <i>Loudetia demeusi</i> savanna with a light ground layer and a thin shrub layer dominated by <i>Hymenocardia acida</i>.</p> <p>Soils: The soils are developed from two tertiary geological formations: the Batéké plateau series composed of sandstone and sandy silts and the Stanley Pool series made up of sandstone and claystone (valley floors and along the Congo River). The soils of the upper plateau are impoverished, yellow and ferralitic on sand-clay and sandy material on the low areas and slopes of the plateaus. Along the Congo River, podzolic soils are found on sand and/or hydromorphic soils locally along watercourses.</p>	<p>Mpouya which is, however, in a poor condition. Network of secondary roads and tracks is generally not maintained or poorly maintained (silting e.g. Ngo-Mpouya link).</p>		
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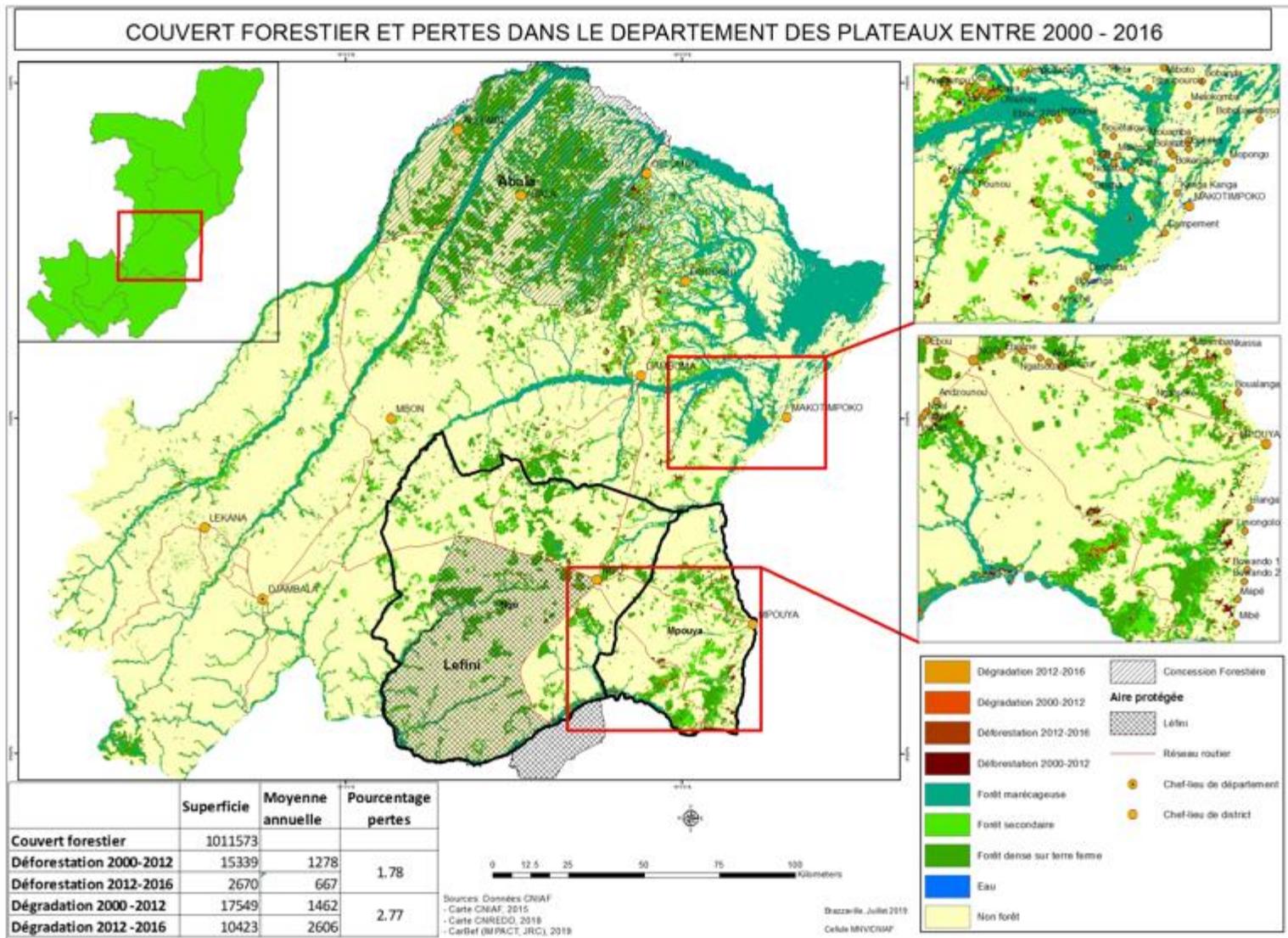


Figure 3: Deforestation and degradation hotspots and potential locations for the Project in the Department of Plateaux

Source: CNIAT and FAO (2019)

Table 5: Socioeconomic and environmental conditions in the Department of Kouilou

Soil and climate characteristics	Human density, product transportation	Main drivers of degradation	Possible development of degradation and deforestation drivers in the targeted areas
<p>Geographic location Relief: Flat to gently undulating in the west (zone 1) varying between 50 and 120 m in altitude. Hilly to very hilly towards the east (zone 2, pre-Mayombe and Mayombe forest) varying from 120 m to 500 m in altitude.</p> <p>Climate: Subequatorial climate zone. Marked dry season between June and September. Total rainfall: between 1,200-1,300 mm/year in zone 1 and 1,200-1,500 mm/year in zone 2. Mean average temperature: 25°C.</p> <p>Natural vegetation: pseudo-steppe savanna with a light to absent shrub layer (<i>Annona arenaria</i>) in zone 1 and semi-deciduous to evergreen dense rainforests in zone 2.</p> <p>Soils: Impoverished yellow ferralitic soils on sandy deposits in savanna areas (zone 1) to reworked red soils on metamorphic and schisto-calcareous rocks (zone 2). Very limited agricultural potential in coastal sandy areas (zone 1) due to</p>	<p>Population densities: Low on average in Kouilou (6.1 inhabitants/km²), with 10,200 inhabitants in the district of Madingo-Kayes (zone 1) and 60,000 pour the district of Hinda (zone 2). The proximity of Pointe-Noire is an advantage for material supplies and product exports.</p> <p>Agriculture Cropping system: slash-and-burn agriculture, polyculture and fallow fields. Almost non-existent livestock production, mainly represented by poultry and fish farming.</p> <p>Transportation of products to Pointe-Noire: Via the RN5 (tarred between Madingo-Kayes and Pointe-Noire) for zone 1. Work in progress on the Kouilou bridge, accessible only to light vehicles, crossing by ferry for trucks.</p>	<p>Zone 1: Massive eucalyptus tract with uncontrolled logging by the local people to produce charcoal and timber (poles, etc.) with a very large demand from the city of Pointe-Noire (± 1 million inhabitants). Management of the large forest tract was retroceded by the state to the SNR after liquidation of the EFC company. The current reduced area is 35,000 ha out of the initial 45,000, with 10,000 ha located north of the Kouilou River. The large forest tract lost nearly 7,000 ha over the last decade due to expansion of the city of Pointe-Noire, fires and illegal logging.</p> <p>Zone 2: Slash-and-burn farming (cassava, maize, plantains, pineapples), essentially, to supply the city of Pointe-Noire. Production of charcoal prior to cultivation to supply the city</p>	<p>Subsistence farming 1) Continued demographic growth and immigration to Kouilou. Development of Pointe-Noire. Increased pressure on forest areas from slash-and-burn farming and charcoal-making with the risk of reduced fallow periods and soil impoverishment.</p> <p>2) Lack of alternatives to slash-and-burn farming, retreat of forest fronts in the Mayombe forest (zone 2) and degradation of low-lying forests in savanna areas (zone 1).</p> <p>Logging: 3) Regular increase in the demand for wood on domestic and export markets.</p> <p>4) Persistent weak administrative control mechanisms.</p>

<p>the chemical poverty of the soil. Higher potential in forest areas (Mayombe) with more clayey, locally fertile soils.</p>	<p>Via the RN1 from zone 2 and secondarily via the Brazzaville-Pointe-Noire railway.</p> <p>Important secondary track network in the Loémé basin, but transport dependent on weather conditions (tracks not maintained).</p>	<p>of Pointe-Noire and, secondarily, artisanal sawing. With regard to the two target areas: lack of governance, mostly ineffective local authority control mechanism.</p>	
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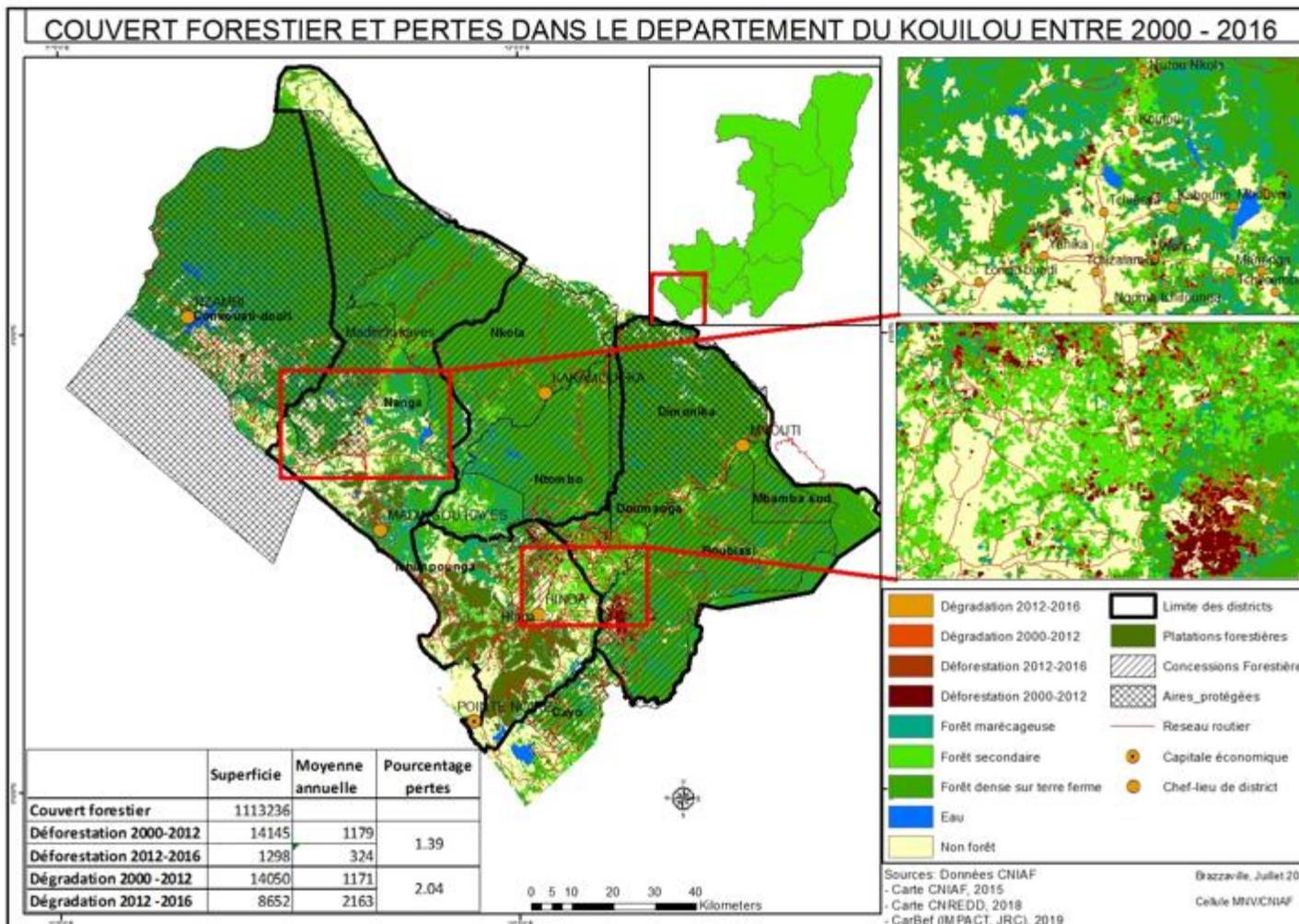


Figure 4: Deforestation and degradation hotspots and potential locations for the Project in the Department of Kouilou

Source: CNIAF and FAO (2019)

Table 6: Socioeconomic and environmental conditions in the Departments of Niari and Bouenza

Soil and climate characteristics	Human density, product transportation	Main drivers of degradation	Possible development of degradation and deforestation drivers in the target areas
<p><u>Geographic location</u></p> <p><u>Relief:</u> Flat to hilly to the east of Dolisie, varying between 150 and 400 m. Presence of hillocks, lowlands and flat areas suitable for different types of agricultural and agroforestry plantations (zone 1).</p> <p>In zone 2, the relief is unremarkable, the area is situated on the plateau overhanging the Niari River.</p> <p><u>Climate:</u> For both zones, subequatorial climate typical of the lower Congo. Marked dry season between June and September. Total rainfall between 1,200-1,300 mm/year Mean annual temperature: 25°C.</p> <p><u>Natural vegetation:</u> In both zones, shrub savanna with grasses (<i>Hypparrhenia diplandra</i>, <i>panicum maximum</i>, <i>Imperata cylindrica</i>), light to dense shrub layer (<i>Hymenocardia acida</i>, <i>Annona</i></p>	<p><u>Population densities:</u> The mean population density in Niari is 8.3 inhabitants/km², with 80,000 inhabitants in Dolisie (third largest town in the country). Bouenza (capital Madingou, with the secondary urban area of Nkayi, the fourth largest town in the country with 70,000 inhabitants) is the most populated department in Congo (20% of the national population) with a population density that is substantially higher than the rest of the country with 26 inhabitants/km² (by way of comparison, Niari is the second largest department in Congo in terms of population density).</p> <p><u>Agriculture</u> Traditional family cropping system with poor input use. The major crops are: cassava, peanuts and bananas. The Niari valley is one of the most cultivated areas in the Congo, which is suitable for the development of agricultural and agro-industrial activities.</p>	<p>Slash-and-burn farming (cassava, plantains, peanuts) essentially for local consumption (Dolisie) and to supply the city of Pointe-Noire and even Brazzaville.</p> <p>Substantial degradation of lowland forest areas and forest patches in savanna with enriched soils.</p> <p>Substantial degradation of the Mayombe forest near Dolisie on the RN1 axis. More than 95% of forest degradation is due to agricultural clearing in these two departments.</p> <p>High demand for firewood to bake clay bricks in Bouenza, the main construction material for dwellings (e.g. town of Nkayi).</p> <p>A lack of governance and ineffective control</p>	<p><u>Subsistence farming</u></p> <p>1) Demographic growth in these two most populated departments of the country which will, over time, lead to increasingly intensive logging of forest areas for slash-and-burn agriculture, charcoal and firewood production. Risk of reduced fallow periods and soil impoverishment. Risk of increased firewood demand to bake bricks for construction in these departments.</p> <p>2) Lack of alternatives to slash-and-burn agriculture, retreat of forest fronts in the Mayombe forest (zone 2) near Dolisie and degradation of lowland forests and forest patches in savanna areas.</p> <p><u>Logging:</u></p> <p>3) Regular increase in the demand for wood on domestic and export markets.</p> <p>4) Persistent weak administrative control mechanisms.</p>

<p><i>arenaria, Bridelia ferruginea, Nauclea latifolia</i>) and presence of degraded forest patches.</p> <p>Soils: In both zones, the soils are desaturated, yellow and ferralitic of varying depths and developed on clay-silt materials from the middle schisto-calcareous substrate. Rejuvenated and possibly hydromorphic soils depending on the relief. Important agricultural potential for food crops and forest plantations. Heavy soils (clayey) that are relatively well-structured but sensitive to compression.</p>	<p>Livestock production is mainly represented by cattle and pig farming.</p> <p><u>Transportation of products:</u></p> <p>Mainly via the RN1 in the direction of Dolisie, Pointe-Noire and Nkayi, Brazzaville. Possibility of transportation using the railway (CFCO), mainly for non-perishable products.</p>	<p>mechanisms are aggravating factors.</p>	
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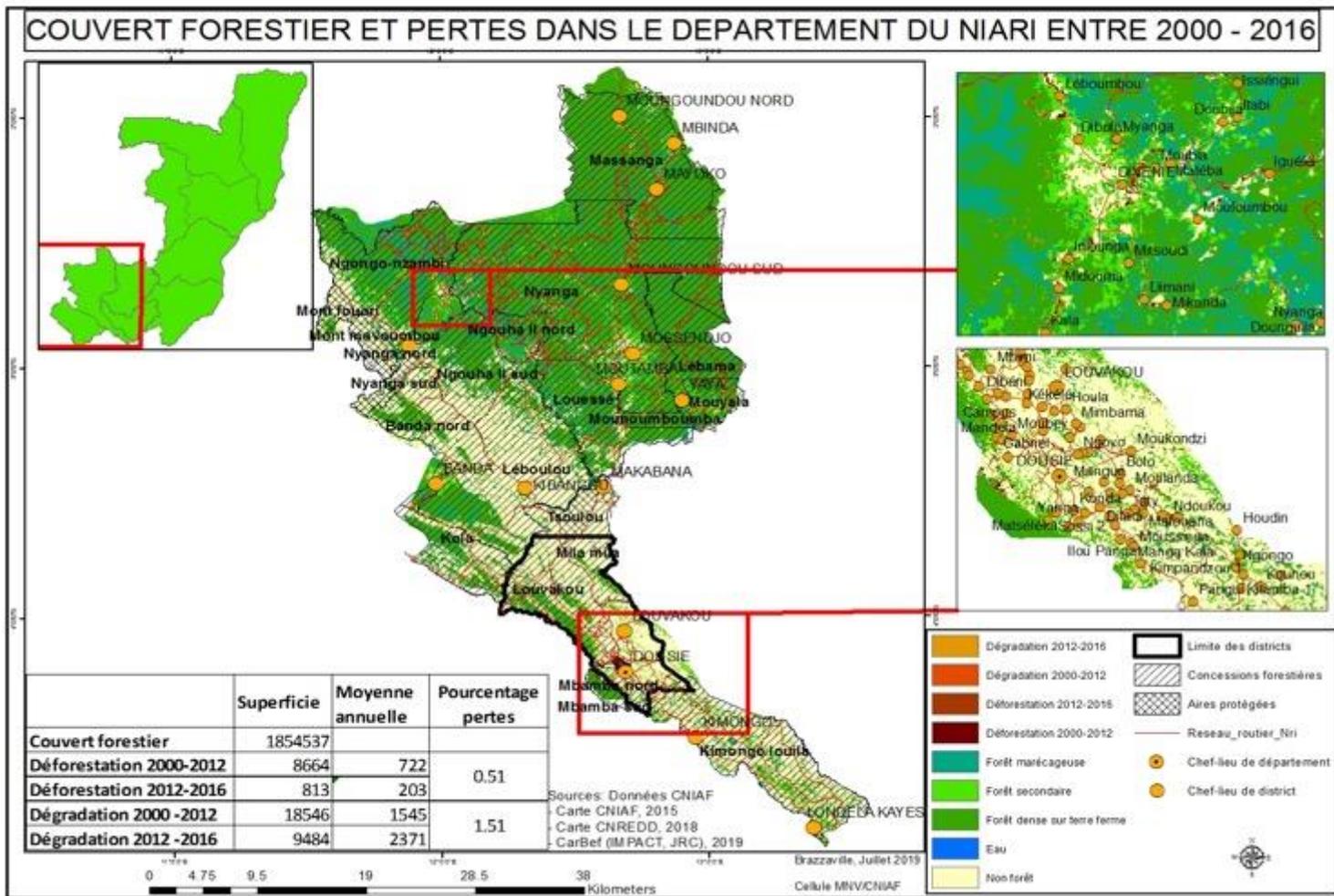


Figure 5: Deforestation and degradation hotspots and potential locations for the Project in the Department of Niari

Source: CNIAF and FAO (2019)

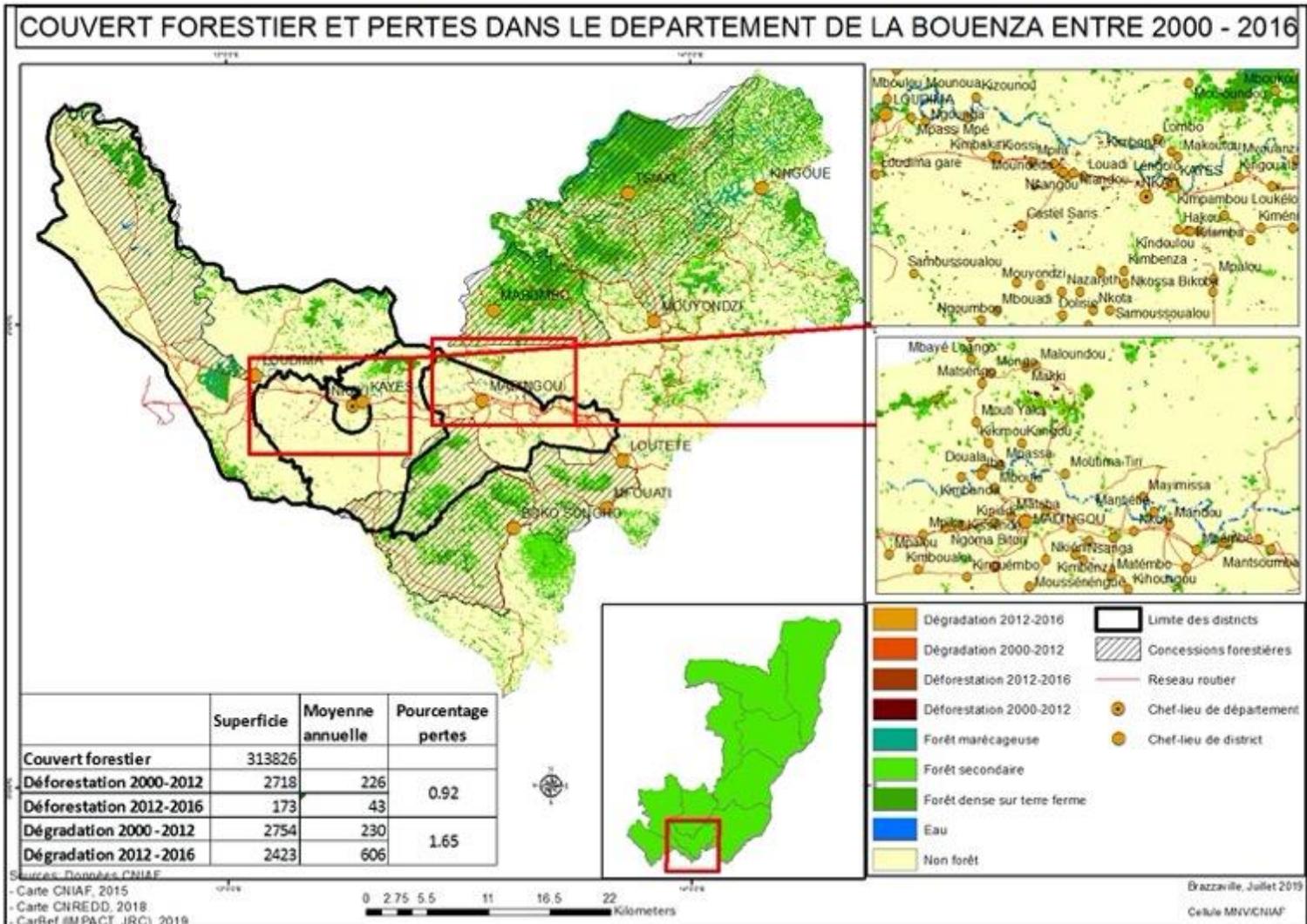


Figure 6: Deforestation and degradation hotspots and potential locations for the Project in the Department of Bouenza

Source: CNIAF and FAO (2019)

Labor and working conditions in the targeted departments

According to the International Labor Organization (ILO), approximately 53% of the population in Congo participates in the labor force (2012). The official unemployment rate in the Congo was estimated at approximately 10 percent (2012), with the rate for women slightly higher than for men. However, these official statistics do not provide a full picture of the current labor situation in the country; as many people are employed in the informal sector, particularly in rural areas. In order to better understand the labor situation and potential impacts or risks associated with the Project, an assessment of labor and working conditions in relation to Project activities will be carried out during the inception phase. This assessment will be part of the terms of reference of the ESG/IP Expert to be employed by the Project, and travel and consultation budgets are foreseen. This assessment will review issues such as child labor and the hiring of minors, discrimination, worker's rights and operational health and safety (OHS). FAO already has international standard labor policies and requirements in place to guide its own operations. If needed, labor management and OHS guidelines will be prepared for various project entities. In addition, the Project's monitoring expert will be responsible to track emerging labor issues, including those that could emerge through the Project's grievance mechanism. Further details on potential risks related to labor are provided in Section 6.2.

4. THE LEGAL FRAMEWORK

The Congo's legal framework underpins and informs the identification and management of social and environmental risks which could affect the Project. This legal framework includes sectoral laws in relevant sectors (i.e. forestry, land, environment, labor) as well as other laws and decrees affecting implementation (i.e. related to indigenous peoples, impact assessment). It is important to review these relevant laws and decrees to identify legal provisions that support and help to define the Project as well as any gaps. In some cases, where requirements or guidance under Congolese law is not in place, the safeguard requirements of the GCF, FAO, and other relevant partners (i.e. World Bank) may be referenced. Some of the most relevant provisions of the Congo's legal framework are presented below and summarized in the table.

The Environmental Protection Law (Law no.003/91 of April 1991) and Decree 2009/415 (2009)

The Environmental Protection Law is an important overarching law which aims to manage, maintain, restore, and protect the country's natural resources and cultural heritage. Among its many provisions, it includes in its Article 2, a requirement for economic development projects to conduct an environmental impact study. This law also includes requirements for the production, sale and use of agricultural pesticides (Art. 34). Furthermore, the law sets out provisions to control pollution, including pollution of soils and arable land, with damages to be paid by offenders (Art.37-38).

The Decree 2009/415 under the Environmental Protection Law lays out the important requirements and procedures for environmental and social impact assessments. This Decree requires the project proponent to analyze potential risks and impacts and to design an environmental and social management plan, including a set of measures to eliminate, reduce or compensate for direct environmental and social impacts. These impacts could include direct or indirect impacts on the site and its environment, with particular reference to natural resources, the atmosphere, agricultural, pastoral or legal areas, health, cultural and archaeological sites, forest resources, water resources and animal, land and fish resources. The Decree requires the development of a management plan that includes a precise schedule for implementation and a budget. This plan should also aim to maximize benefits for the populations concerned. Public consultations are an important element in the process, though consent by those affected is not required – they are instead given a 'power to influence'. The Decree also outlines some of

the administrative procedures for technical review and approval. In contrast to guidance on safeguards promoted by the UNFCCC, GCF, FAO, and other international agencies, Congo's legislation in this area lacks specificity in regards to some issues for example related to land tenure conflict or displacement. Gender and equitable participation of vulnerable or marginalized groups are also not covered.

Labor and Child Protection Laws

Congo's Labor Law or 'Code de Travail Loi no. 45-75' was passed in March 1975. This law contains many standard labor provisions related, for example, to contracting, worker health and safety, working conditions, maternity, and unions. The law also stipulates that children under the age of 16 are forbidden to work unless there is a special approval by the Minister of National Education. Protection of children is further supported by the **Law on Elimination of child labour, protection of children and young persons (Loi n° 4-2010 du 14 juin 2010)**.

The Land Law of 2018 (Law no. 21-2018 of June 13, 2018) is very important for the Project, because it creates procedures for traditional land owners, allowing them to secure the land with land titles. Before land owners agree to establish long-term use contracts with non-land owners (for the implementation of agroforestry and forestry initiatives, as planned by the Project), the land rights of traditional land owners must be well secured.

Legal gap in terms of participatory forest management. The Forest Code makes provision for the involvement of local communities and indigenous populations in sustainable forest management, and the revisions of the Forest Code (ongoing) will very likely further strengthen this participation. Community management is also provided for by the REDD+ National Strategy. Unfortunately, the application decree for the current law is ineffective, creating a legal gap which hinders the development of pilot initiatives in participatory management. Participatory management has a particularly large potential in the Project area for the hundreds of unclassified forest patches in village land in the savanna and forest mosaics that predominate.

The Law on Indigenous Peoples (Law no. 05-2011 of February 25, 2011). In 2011, the Republic of Congo was the first country in Africa to adopt a law on indigenous peoples, a law which guarantees indigenous peoples (IP) the same rights as other citizens of the country.

Since July 2019 there are six new regulatory acts under Law 05, as follows:

- Decree No. 2019-202 of 12 July 2019 specifying special measures to facilitate access to health and social services for indigenous peoples and to protect their pharmacopoeia
- Decree No. 2019-204 of 12 July 2019 on special measures to improve access to education for indigenous children and literacy for adults
- Decree No. 2019-201 of 12 July 2019 establishing procedures for the consultation and participation of indigenous peoples in socio-economic development projects and programmes.
- Decree No. 2019-203 of 12 July 2019 establishing the composition and modus operandi of the Interministerial Committee for Monitoring and Evaluation of the Promotion and Protection of the Rights of Indigenous Peoples
- Decree No. 2019-200 of 12 July 2019 determining the modalities for the protection of cultural property, sacred sites and spiritual sites of indigenous peoples
- Decree No. 2019-199 of 12 July 2019 on special measures for the granting of civil status documents to indigenous peoples

Table 7: Strengths and weaknesses of the legal framework

(adapted from the table in the Investment Plan for the implementation of REDD+, 2018).

Legal Basis	Notable implementing acts	Assets/Advantages for implementation of the REDD+ process	Gaps
Constitution of 2015	All laws are a result of this	<ul style="list-style-type: none"> • Sovereign guarantee: Inalienable sovereignty over all natural treasures and national resources • Guarantee of private land use rights • Guarantee of rights for Indigenous Populations (IP) • Recognition of IP rights to use and sharing of benefits 	
Decree 2015-2060 of February 27, 2015 relating to the creation, organization, responsibilities and operationalization of the REDD+ process management bodies in the Republic of Congo		<ul style="list-style-type: none"> • Relates to the creation, responsibilities and operationalization of the REDD+ process implementing bodies at national and departmental levels 	Non-incorporation of certain departmental directorates in CODEPA, particularly the Departmental Directorates of Mines, as well as Land-Use Planning
Land Use Planning			
Framework Law no, 43-2014 of October 10, 2014 on land use and territorial development	Decrees relating to the creation of structures for dialogue on land-use planning policies were published	<ul style="list-style-type: none"> • Enshrines the principle of sustainable management of natural resources (Art. 36) • Requires a specific land management plan agreed in consultation with all concerned stakeholders for any use of natural resources, including forests (Art. 37) • Makes provision for harmonious development of land occupation and use, prevention of conflict between different types of concessionaries (logging and mining, in particular, the customary authorized users 	The law does not highlight the fact that the PNAT (<i>Plan National d'Affectation des Terres</i> [National Land-Use Plan] has not yet been developed, but nevertheless recommends implementation of a land-use policy (Art. 38). Revision of the 2005 SNAT (<i>Schéma National d'Aménagement du Territoire</i> [National

		<p>of forest resources and, in general, between different groups of forest resource users)</p> <ul style="list-style-type: none"> Proposes defining strategic guidelines for zoning, land conversion, infrastructure planning, mitigation of deforestation and depletion of forest resources in the long-term. 	Land-Use Schema]) (SNAT) is yet to be completed.
Land			
Law no. 21-2018 of June 13, 2018	The law creates the possibility of traditional land owners obtaining land rights	<ul style="list-style-type: none"> It will enable customary land holders to legally acquire the position of land owners. The state will benefit from two retrocessions stipulated by the law. The retrocession of 10% of the area of recognized customary land to the State by land owners to build the national land reserves necessary for development of the country. The other retrocession of 5% of the area of recognized customary land by way of land registration costs and the creation of land titles to their benefit. 	
Law no. 17-2000 of December 30, 2000 Law no. 27/81 of August 27, 1981 Land laws 9-2004 to 13-2004 Law no. 25-2008 of September 22, 2008 related to the agricultural land system Law no. 24-2008 of September 22, 2008	Numerous decrees created	<ul style="list-style-type: none"> Define the key elements of land ownership and <i>in rem</i> rights (real rights) Define the concept of State property Serve as a framework law and define the general conditions for legislation and regulations related to specific land and land-use, including forest legislation (Article 13) 	Numerous land conflicts persist, particularly between customary rights and State and local community rights. Reform attempts must be continued to (i) resolve current conflicts, (ii) secure land rights and (iii) facilitate access to land for the local people, as well as investors

related to the rural land system		<ul style="list-style-type: none"> • Recognizes individual or collective customary land rights (Article 31) • Recognize private right to land for land security 	
Management of forest resources and the environment			
Law no. 16-2000 of November 20, 2000 related to the Forest Code of the Republic of Congo		<ul style="list-style-type: none"> • Establishes the principle of sustainable land use with the creation of different land-use series • Enshrines the principle of sustainable logging based on a system of rotation • Provides for the principle of State support to the development of forest plantations • Enshrines the principle of biodiversity conservation • Provides for the involvement of local communities and indigenous populations in sustainable forest management • Provides for recognition of private rights on forests 	The revised law was developed but has not yet been adopted. The same applies to the application decrees There is no specific legal framework for participatory forest management
Law no. 003/91 of April 22, 1991 on protection of the environment	Decree 2009-45 related to the scope of conditions for the performance of impact studies	<ul style="list-style-type: none"> • Strengthens i) the protection and conservation of wild fauna and flora, marine and river resources; (ii) the management, maintenance, restoration and protection or conservation of natural resources, cultural, natural and historic heritage; (iii) the prevention and fight against damage to the environment and the health of individuals and their goods <p>The inadequacy of the implementing legislation</p>	Consent of the local population is not required. Inclusion (gender, marginalized groups) not well defined. Tenure conflicts / displacement not clearly addressed.

		<ul style="list-style-type: none"> • The associated decree requires an environmental impact assessment to be performed for all development projects 	
Management of fauna and protected areas			
Law no. 37-2008 of November 28, 2008 on Fauna and Protected Areas	Creation of the ACFAP (<i>Agence Congolaise de la Faune et des Aires Protégées</i>) [Congolese Agency for Fauna and Protected Areas])	<ul style="list-style-type: none"> • Confers specific protection status for designated species and protected areas • Stipulates the principles for the management and conservation of forest ecosystems that are rich in biodiversity or that host endemic or endangered species • Exempts protected areas from any logging or mining • Nearly all protected areas make up carbon sequestration areas owing to their location in forest areas. 	The application decrees are yet to be finalized. As a result, the protected areas continue to operate on the basis of specific decrees creating each of them and setting their type and status. There are conflicts of responsibilities between the ACFAP and the DFAP (<i>Direction de la Faune et des Aires Protégées</i> [Department for Fauna and Protected Areas])
Recognition of the rights and involvement of Indigenous Populations in the management of natural resources			
Law no. 05-2011 of February 25, 2011 related to the Promotion and Protection of the rights of Indigenous Populations		<ul style="list-style-type: none"> • Guarantees the establishment of IP consultations prior to the consideration of any measure and/or project that affects them (Art. 3) • Guarantees cultural rights and a collective and individual right to ownership (Art. 31) • Guarantees demarcation of land based on the customary land use right (Art. 32) • Guarantees the right to revenue from operation and use of their land and natural resources (Art. 41) 	Lack of implementing legislation, particularly on the methods and level of participation of the local communities and indigenous populations and, more broadly, civil society, in the process of forest resource management and forest classification

		<ul style="list-style-type: none"> • Their involvement and/or the involvement of their land requires their free, prior and informed consent (FPIC) • The affected IPs have a right to the revenue and benefits resulting from their involvement in REDD+ 	
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Management of the social and environmental aspects of REDD+ in the Republic of Congo is based on the environmental and social safeguards stipulated within the context of REDD+. The Strategic Environmental and Social Assessment (SESA), conducted repeatedly with finalization of the REDD+ National Strategy, with the participation of civil societies and other stakeholders and in line with Decree no. 2009-415 of November 20, 2009, comes within this perspective. Building on this foundation, the environmental and social safeguard instruments were developed in accordance with the operational policies of the World Bank, namely:

- The Environmental and Social Management Framework Plan (ESMFP);
- The pest and pesticide management framework;
- The cultural, physical, and intangible heritage management framework;
- The planning framework for indigenous populations;
- The functional framework for measures to be taken in case of restricted access to natural resources;
- and
- The policy framework for involuntary resettlement.

5. ENVIRONMENTAL AND SOCIAL SAFEGUARDS FRAMEWORK

This risk management framework is based on the GCF's Environmental and Social Policy⁵, the Environmental and Social Safeguards of the Green Climate Fund (which are the IFC safeguards)⁶, the FAO's environmental and social management guidelines⁷, the Republic of Congo's REDD+ Principles, Criteria and Indicators (PCI)⁸ and the Cancun safeguards for REDD+⁹. The GCF's Environmental and Social Policy 2018 presents the guidelines for the process which must be respected. The GCF leaves the choice of relevant standards in the hands of the accredited entity – the FAO. The chosen standards are the environmental and social standards of the FAO, REDD+, the Republic of Congo and the Cancun safeguards for REDD+.

5.1. The GCF's Environmental and Social Policy

The GCF's Environmental and Social Policy requires that any activity funded by the GCF:

1. Avoids, whenever possible, or otherwise mitigates adverse impacts on the population and the environment;
2. Increases equitable access to the benefits of the development, and;
3. Ensures favorable incorporation of populations, groups, individuals, local communities, indigenous people, and other marginalized groups that will be affected or potentially affected by activities funded by the GCF.

Pursuant to the GCF's Policy, environmental and social standards must be applied to identify relevant risks, analyze the causes of these risks, and then prioritize them according to their probability and their impact. Subsequently, a risk management framework or plan must be developed that is effectively integrated into the project implementation procedures. The GCF will analyze the risk management framework or plan prepared during development of the project document and the GCF will also analyze the operational system for risk analysis and management during project implementation. The GCF requires annual reports on the risk management system and will monitor risk management through accredited entities during implementation. Monitoring will be conducted via a transparent process and the relevant records and information must be made available to the affected communities and stakeholders by the project's executing entities. The affected stakeholders, including the most vulnerable and marginalized, must be involved in the risk management framework. The Project must therefore establish a system for the collection of and effective response to complaints.

The policy on indigenous peoples (GCF, 2018) is another GCF safeguard which is very important for this Project. It provides guidelines for the development of plans and planning frameworks for indigenous peoples. By the end of May 2019, the Project team identified indigenous populations in the Ngo district

⁵ https://www.greenclimate.fund/documents/20182/574763/GCF_policy_-_Environmental_and_Social_Policy.pdf/aa092a12-2775-4813-a009-6e6564bad87c

⁶ https://www.greenclimate.fund/documents/20182/319135/1.7_-_Environmental_and_Social_Safeguards.pdf/e4419923-4c2d-450c-a714-0d4ad3cc77e6

⁷ <http://www.fao.org/3/a-i4413e.pdf>

⁸ <https://www.unredd.net/documents/un-redd-partner-countries-181/africa-335/republic-of-the-congo-510/studies-reports-and-other-publications-561/15789-les-principes-criteres-et-indicateurs-du-processus-redd-pci-redd-en-republique-du-congo.html>

⁹ <https://redd.unfccc.int/fact-sheets/safeguards.html>

in the Project area. The GCF policy on indigenous peoples is the main document used to compile a separate document called the Planning Framework for Indigenous Peoples.

The GCF safeguards are presented here and the relevance of each one is analyzed. The safeguards are composed of 8 Performance Standards (PS):

PS1 The environmental and social risks and impacts are analyzed and adjusted

In this document, risks and their impacts are identified. Mitigation measures are formulated and the risk management framework to be implemented during project execution is developed.

PS2 Working conditions

- a) Equality, nondiscrimination, equal opportunities;
- b) Good relationship between workers and managers;
- c) Respect of labor laws;
- d) Protection of vulnerable workers;
- e) Promotion of occupational health and safety;
- f) Avoidance of forced and child labor.

The Project has identified a risk (#9) related to labor and working conditions. Such risks could include the risk of employing child labor in project activities, discrimination in hiring and selection processes and abusive working conditions that lead to occupational health and safety concerns. In particular the specific case of indigenous peoples is addressed through a planning framework which is the subject of a separate report.

Risk #9: Labor. Some beneficiaries activities may result in labor issues, including child labor, discrimination in selection processes, and abusive working conditions

PS3 Resource use efficacy

- a) Minimize the pollution created by the Project;
- b) Sustainable use of resources, including energy and water;
- c) Reduction of greenhouse gas emissions.

The Project has identified a pollution risk related to production and processing activities related to agroforestry products.

. It is also noted that the Project aims to reduce GHG emissions related to slash-and-burn farming and fuelwood consumption, and to promote the sustainable management of forest ecosystems, which will have a positive effect on the environment.

PS4 Community health and safety

- a) Anticipate and avoid adverse effects on health and safety;
- b) Safeguard individuals and property.

The analysis revealed no important risks related to PS4.

PS5 Land acquisition and involuntary resettlement

- a) Minimize adverse socioeconomic impacts of land acquisition or land-use restrictions;
- b) Avoid/minimize resettlements;

- c) Provide alternatives/options;
- d) Avoid forced resettlement.

The team identified significant risks in terms of land tenure rights and land access rights for potential Project beneficiaries who do not own land or have land use rights in the traditional or formal sense. For the purposes of the Project, these were identified as “non-land owners”. The Project design provided for the establishment of several measures to mitigate this risk. Furthermore, no risk of resettlement is anticipated as this is not under consideration within the context of the Project. Restrictions resulting from land-use planning should be the result of participatory processes at community level, which will reduce the risk of non-compliance. Finally, the production systems endorsed by the Project will be adopted voluntarily, and beneficiaries may choose depending on their preferences.

PS6 Conservation of biodiversity and sustainable management of renewable resources

- a) Protection and conservation of biodiversity;
- b) Maintenance of the benefits of ecosystem services;
- c) Promotion of sustainable management of living resources;
- d) Integration of conservation and development priorities.

The team highlighted a risk that the measures recommended by the Project will be insufficient to ensure long-term forest conservation. In fact, the Project aims at the sustainable management and reconciliation of agricultural production and fuelwood consumption with the objectives of forest conservation. Its scope should be complemented by actions more specifically aimed at sustainable management and conservation of forests.

PS7 Indigenous peoples (IP)

- a) Ensure complete respect of IP;
- b) Avoid/minimize adverse impacts;
- c) Develop sustainable and culturally appropriate benefits and opportunities;
- d) Free, prior and informed consent under certain circumstances.

Despite the country’s legislative advances in terms of the rights of indigenous populations, the IP situation is still concerning. There is some risk that the Project will not contribute directly towards improving the living conditions of indigenous peoples. In order to mitigate this risk, a specific framework for indigenous peoples was developed to guide the Project.

PS8 Cultural heritage

- a) Protection and preservation of cultural heritage;
- b) Promotion of equitable sharing of cultural heritage benefits.

The Project foresees no specific risk related to PS8. The Project areas populated by IP are “mixed” areas, where the Bantu also live. There is a specific risk for IP, but no specific risks have been identified for the rest of the population. No sacred areas such as religious sites or burial grounds have been identified in the Project areas.

5.2. The FAO's Environmental and Social Management Guidelines

The Project Risk Management Framework is primarily structured around the FAO Environmental and Social Management Guidelines (2015). They include guidelines for the identification, analysis and management of environmental and social risks, as well as principles, safeguards standards and procedures for risk integration in the Project cycle. The FAO Environmental and Social Standards (ESS) contain a set of nine categories of environmental and social standards. The following standards are relevant for this Project:

ESS 1: Natural resource management

- a) Land-use planning and land resource planning;
- b) Water resource and small dam planning;
- c) Land;
- d) Climate.

As mentioned above in the GCF safeguard review, the Project team specifically identified risks related to land and land access for non-land owners.

ESS 2: Biodiversity, Ecosystems and Critical Habitats

- a) Protected areas, buffer zones and natural habitats;
- b) Conservation of biodiversity;
- c) Use of exotic or non-indigenous species;
- d) Living natural resources.

No important risks are identified for the species promoted by the production systems proposed by the Project team, which are all agricultural products or forest species already widespread in Congo.

ESS 3: Plant Genetic Resources for Food and Agriculture

- a) Introduction of new crops and varieties;
- b) Provision of seeds and other planting materials;
- c) Modern biotechnology;
- d) Forest plantations.

The Project does not plan to promote genetically modified species or introduce modern biotechnologies. Under Component 2, the beneficiaries may choose to establish small private or village plantations in order to produce fuelwood, in which they will be supported by the Project. The forest species used by local populations seem to pose few risks, but it is a question of monitoring during implementation.

ESS 4: Animal - Livestock and Aquatic - Genetic Resources for Food and Agriculture

There is no evident risk related to this aspect as the Project does not plan to support livestock production.

ESS 5: Pest and Pesticide Management

- a) Pesticide selection;
- b) Removal/treatment;
- c) Responsibility.

There will be some use of pesticides during implementation of the Project and the risks must be analyzed. A technical subcommittee on Pests and pesticides will be created within the Technical Committee to provide technical advice on this topic. The Project will follow ESS 5 guidelines: 1) To promote integrated pest management; 2) To reduce dependence on pesticides, and; 3) To minimize the negative impact of pesticide use. In line with the explanation of the scope of ESS 5, this standard applies to the Project because agricultural intensification through the promotion of climate-resilient agroforestry (particularly) and forestry production systems could indirectly contribute towards an increase in the use of certain pesticides. The FAO must promote integrated pest management as a basic principle for sustainable agricultural intensification. A pesticide management plan is not required, because the quantities of pesticides used will remain moderate. However, if there is a need to use pesticides, after analyzing the options for integrated pest management, the choice of pesticides must be closely studied. The factors to be taken into account when selecting pesticides are: 1) Their selectivity; 2) The risks to non-target species; 3) Their persistence in the environment; 4) Their efficacy; and; 5) The probability of resistance development. At minimum, an environmental and social analysis is necessary before selecting pesticides for approval. The following criteria must be met before a pesticide is approved for use in an FAO project: 1) The pesticide must be registered in the country or it must be specifically permitted by the competent authority. All conditions specified for registered products must be followed; 2) Users must be capable of managing the product within acceptable risk margins; 3) Preference is given to less dangerous, more selective, less persistent pesticides with less dangerous methods of application that are the best targeted and that require the least pesticide; 4) Any procurement of pesticides on the international market must meet the conditions specified by the site <http://www.pic.int/Implementation/Pesticides>. Some production systems will also require the use of moderate quantities of chemical fertilizers. Climate-resilient agroforestry techniques minimize the need to use fertilizers / soil conditioners but they do not eliminate it. The quantities of chemical fertilizers used are expected to be very modest.

ESS 6: Involuntary Resettlement and Displacement

This risk is covered in the assessment and while it is unlikely to affect the Project due to strict requirements on site selection, there is a possibility of land conflict with small numbers of families claiming customary use rights or with recent migrants. In such case there is a need to choose alternative sites or to peacefully negotiate a solution.

ESS 7: Decent Work

- a. Creation of better employment opportunities, particularly for women and young people;
- b. Non-discrimination and equal opportunities;
- c. Occupational health and safety;
- d. Prevention of child labor;
- e. Forced labor;
- f. Workers' and producers' organizations.

As mentioned above, t

The Project has identified a risk (#9) related to labor and working conditions. Such risks could include the risk of employing child labor in project activities, discrimination in hiring and selection processes and abusive working conditions that lead to occupational health and safety concerns. In particular the specific case of indigenous peoples is addressed through a planning framework which is the subject of a separate report.

ESS 8: Gender equality

- a) The fight against discriminatory practices;
- b) Equal opportunities for men and women to take part and to benefit;

In Congo, women generally have more limited land rights (access, use) than men. The Project has developed a separate management plan for gender aspects.

ESS 9: Indigenous Peoples and Cultural Heritage

- a) Identification of indigenous peoples;
- b) Rights to land, territory and natural resources;
- c) Reference impact analysis on indigenous peoples;
- d) Free, prior and informed consent;
- e) Plan for indigenous peoples.

The Project does not aim to directly improve the living conditions of the indigenous peoples located in the Project area. However, it seems unlikely that the Project will further aggravate their condition. Two other FAO safeguards that are part of ESS 9 were used to develop the Planning Framework for Indigenous Peoples:

- The FAO Policy on Indigenous and Tribal Peoples, 2010.
- Free, prior and informed consent. FAO

Table 8: Correlations between GCF/IFC safeguards, and FAO safeguards

GCF/IFC safeguards	FAO safeguards
PS1 The environmental and social risks and impacts are analyzed and adjusted	ESS1 Natural Resources Management ESS8 Gender Equality
PS2 Working conditions	ESS7 Decent Work
PS3 Resource use efficacy	ESS5 Pest and Pesticide Management
PS4 Community health and safety	ESS7 Decent Work
PS5 Land acquisition and involuntary resettlement	ESS6 Involuntary Resettlement and Displacement
PS6 Conservation of biodiversity and sustainable management of renewable resources	ESS2 Biodiversity, Ecosystems and Critical Habitats ESS3 Plant Genetic Resources for Food and Agriculture ESS4 Animal - Livestock and Aquatic - Genetic Resources for Food and Agriculture
PS7 Indigenous peoples	ESS9 Indigenous Peoples and Cultural Heritage
PS8 Cultural heritage	

5.3. The Congolese REDD+ Principles, Criteria and Indicators and the Cancun REDD+ Safeguards

The Project also analyzed the environmental and social safeguards of the REDD+ mechanism of the Republic of Congo, which are presented in the document “The Principles, Criteria and Indicators of the REDD+ Process (PCI-REDD+) in the Republic of Congo, 2015”. For each principal, there are several criteria and for each criterion, indicators have been identified. The principles are the following:

- Principal 1: Compliance with the standards of democratic governance, particularly those contained in international and multilateral agreements.
- Principal 2: Respect for and protection of the rights of stakeholders in compliance with international obligations.
- Principal 3: Promotion and strengthening of sustainable subsistence and poverty reduction means.
- Principal 4: Contribution to a policy of low-carbon, climate-resilient, sustainable development in line with national development strategies, national forest programmes and commitments made within the context of international conventions and agreements.
- Principal 5: Make sustainable forest use a high political priority for REDD+.
- Principal 6: Maintenance and improvement of the many functions of the forest, specifically to ensure benefits, such as conservation of biodiversity and ecosystem services.
- Principal 7: Avoidance or minimization of adverse effects on non-forest ecosystem services and biodiversity.
- Principal 8: Promotion of initiatives for stakeholders, who are involved in achieving the results of REDD+.

The Cancun safeguards (Decision no. 1/CP.16) were taken into account in the development of PCI-REDD+. They highlight the following reference elements:

1. Complementarity and compatibility with national forest programmes and international agreements;
2. Transparency and efficacy of forest governance structures;
3. Respect for the knowledge and rights of indigenous peoples;
4. Complete and effective stakeholder participation;
5. Conservation of natural forests, biodiversity and ecosystem services;
6. Measures aimed at taking risks of reversal into account;
7. Measures aimed at reducing emission displacement.

6. ENVIRONMENTAL AND SOCIAL MANAGEMENT FRAMEWORK PLAN (ESMFP)

This chapter presents the process for ensuring that environmental and social risks are taken into consideration during Project implementation and that safeguards are applied in order to minimize risks.

6.1. Methodological approach

At the identification stage, the Project was deemed to be Category 2 for environmental and social risks. A more in-depth, but partial analysis was performed within the context of the feasibility study conducted by CIRAD¹⁰. The CIRAD analyses were specifically documentary. By the end of preparation of the Project document, international experts in risk evaluation and management and gender dimension analysis were hired to conduct more thorough analyses with an emphasis on exchanges with stakeholders on the ground in the districts included in the Project area. The results are presented here and are based on:

- Application of the GCF/IFC, FAO, REDD+ and Cancun environmental and social safeguard standards;
- Documentary analyses, including the CIRAD analyses;
- Interviews with individuals well-informed on the risks in Brazzaville and outside Congo;
- Interviews with the authorities, technicians and various stakeholders in the departments and districts;
- In particular, semi-structured exchanges within the communities with village chiefs, men, women, members of agricultural producer groups, young people, chiefs of indigenous and non-indigenous populations in the Bantu villages in the district of Ngo.

The identified environmental and social risks, their links with the safeguards, an assessment of the magnitude of the probability and impact of each risk, a description of the risk and the risk mitigation measures are all presented.

6.2. Risks identified

The following risks have been identified as relevant to the activities foreseen under the Project. The links between these risks and specific Project activities have been defined in the tables found in Section 2.3.

- **Risk #1: Land access.** Difficulties related to land access and tenure security rights may compromise the large-scale adoption of sustainable agroforestry and forestry practices. Probability and impact: medium;
- **Risk #2: Tenure rights & benefits.** Land tenure rights systems could hinder equitable sharing of the benefits. Low probability, medium impact;
- **Risk #3: Pressure on forests.** Initial investments in agroforestry and forestry initiatives may become financially attractive and could increase the pressures and risks of deforestation and forest degradation. Low probability, high impact;

¹⁰ François Pinta, Philippe Guizol, Vivien Rossi, Maurice Goma, Louis Mareschal. 2019. Technical and economic feasibility study within the context of implementation of the Nationally Determined Contribution (NDC) of the Congo in the land-use and forestry sector. CIRAD.

- **Risk #4. Participation.** The beneficiary screening criteria for Component 2, particularly counterpart requirements in terms of minimum initiative size and group registration risk to limit the participation of certain qualified candidates. Medium probability, medium impact;
- **Risk #5: Management capacities.** Development of the management capacities of members of initiator groups will be difficult, particularly for women’s and indigenous groups. Medium probability, medium impact;
- **Risk #6: Indigenous peoples.** Indigenous populations may not benefit from the Project due to their marginalization. Medium probability, low impact;
- **Risk #7: Governance.** The governance level of the government’s administrative and technical departments is poor, which could compromise the implementation of certain Project components. Medium probability, low impact;
- **Risk #8. Health.** The use of pesticides and other chemical agricultural inputs as well as the disturbance of natural ecosystems potentially leading to emerging disease, could have adverse effects on the health of populations and the environment. Low probability, low impact.
- **Risk #9: Labor.** Labor issues including child labor, discrimination in selection processes, and abusive working conditions may be linked to some project activities. Medium probability, low impact.
- **Risk #10: Displacement.** On the ground interventions (agroforestry/ANR) could lead to displacement of informal settlers/land occupants, or undocumented claimants on both public and private lands as well as potential restriction of access to forest resources, affecting traditional forest users. Low probability, medium impact.

Links with the safeguards are presented in the table below.

Table 9: Links between the risks and the FAO, REDD and Cancun environmental and social safeguards

Identified Risks	GCF Environmental and Social Policy	Management guidelines FAO E&S	PCI REDD+ Principle	Cancun Safeguards
1. Difficulties related to land access and tenure rights may compromise the large-scale adoption of sustainable agroforestry and forestry practices.	PS5 & GCF IPP (See Guiding Principle ‘b’)	ESS1 C Land	Nil	4
2. Land tenure rights systems could hinder equitable sharing of the benefits under Component 2	IPP (See Policy Objective ‘m’)	ESS8 A and B ESS 9	1, 2, 3	4
3. Initial investments in agroforestry and forestry initiatives risk becoming financially attractive and could increase the pressures and risks of deforestation and forest degradation.	IPP (8.7)	Nil	Nil	Nil
4. The beneficiary screening criteria under Component 2, particularly counterpart requirements in terms of minimum initiative size and formal groups risk to limit the participation of certain qualified candidates.	PS5 and PS7 IPP (Policy objective ‘e’ & ‘k’)	ESS7 B	2, 3, 8	4

5. Development of the management capacities of members of beneficiary groups will be difficult, particularly for women’s and indigenous groups.	PS7 IPP (See 7.1.1)	ESS9 A, B, D, E	1, 2	3
6. Indigenous peoples may not benefit from the Project due to their marginalization.	IPP (See Policy Objective ‘m’)	Nil	1, 2	2
7. The governance level of the government’s administrative and technical departments is poor, which could compromise the implementation of certain Project components.	PS3 IPP (See 7.4)	ESS 5 A, B, D, E	Nil	Nil
8. The use of pesticides and other chemical agricultural inputs as well as the disturbance of natural ecosystems potentially leading to emerging disease, could have adverse effects on the health of populations and the environment.	PS3 PS4	ESS 2 ESS 5	4, 5, 8	5
9. Labor issues including child labor, discrimination in selection processes, and abusive working conditions may be linked to some project activities.	PS2	ESS 7	1	8
10. On the ground interventions (agroforestry/ANR) could lead to displacement of informal settlers/land occupants, or undocumented claimants on both public and private lands as well as potential restriction of access to forest resources, affecting traditional forest users. Low probability, medium impact.	PS5	ESS 6	1	3,4

Risk #3 is the only risk not explicitly linked with the safeguard guidelines used. Risk 3 is primarily based on experience in West Africa, where the main factor in rain forest loss was conversion of these forests into small-scale cocoa plantations. An international study showed that when the profitability of agricultural or agroforestry activities is increased, there is increased pressure to convert forest into these profitable crops. This risk is not explicit in the safeguards used.¹¹

6.3. Mitigation measures

Risk #1 Land Access. Difficulties related to land access and rights risk to compromise the large-scale adoption of sustainable agroforestry and forestry practices. Probability and impact: medium.

Description: According to the traditional practices about the appropriation and land access control in Congo, only families who are “landowners” have the right to plant trees on their land. Non-landowners, who generally practice subsistence farming on land belonging to land owners that is either rented, or for which no rent is paid, almost never have the right to plant trees. Clan or lineage related appropriation of land is the most common method of land right acquisition. The status of “landowner” on a given piece of land is therefore recognized for members of the family line who hold these rights. Landowners with no

¹¹ TetraTech. 2015. Working Paper on Sustainable Intensification without Extensification. USAID

land title are particularly susceptible to this tradition. In Congo, the majority of landowners have no land title on their land in the legal sense, but rather have customary recognition.

The cost of registering land to obtain a land title, particularly when one considers the cost of mobilizing teams of surveyors, risks to hinder landowners from securing the land by means of land titles. During exchanges with landowners and agricultural producers with no land right for the land they are cultivating, the latter were rather pessimistic in terms of the possibility of planting trees. The establishment of medium to long-term land rental contracts, which could allow for the integration of trees, is still not current practice in Congo, but certain examples show that this type of arrangement is possible and has been observed on the ground.

Although land systems are strongly anchored tradition, they are not frozen – they develop with time. Traditionally, land is not sold, but there are exceptions, particularly in towns and surrounding areas. In rural areas, some tenants have established emphyteutic leases with the landowners. Sometimes, the person who has cleared the forest the first time retains certain rights on fallow fields.

This risk has the potential to affect several key project activities including the efforts to strengthen tenure rights through agreements (Act. 1.1.1), the establishment of fast start tree plantations for energy purposes (Act. 2.1.1), and the establishment of agroforestry and forestry systems (Act. 2.2.2).

Mitigation Measures: The success or failure of the Project will revolve around the issue of land security. After in-depth analyses, the Project retained three options to remedy the issue of land access and rights, notably: (A) ensuring that beneficiaries have access to land already secured by PRONAR or land available on former State farms. To date, almost 6,000 ha have been secured by PRONAR and blocks of land are currently being secured in certain departments covered by the Project; (B) support of families interested in registering their land and transfer of a part of the latter for agroforestry Projects by non-land owners; and (C) the system of shared remuneration (contracts), which consists of the land owner interested in the Project agreeing to make his land available to beneficiaries of agroforestry and forestry initiatives through long-term contracts to be negotiated jointly in exchange for shared remuneration. Unfortunately, PRONAR and State lands are only available in a minority of villages.

Strengthening of land rights is a cornerstone of Components 1 and 2. The Project will strengthen land rights for landowners and non-landowners. Support for the adoption of agroforestry and forestry production systems specifically targets non-landowners, but could also benefit landowners who wish to take part in the Project. In order for landowners to agree to transfer a part of their land, provide access to non-land owners, or even agree to conclude long-term shared remuneration contracts with non-land owners with the right to plant trees, the land rights of the land owners themselves must be secured with land titles. During community surveys conducted by the risk assessment mission, and particularly during the educational activities conducted by the NGO ID in all 13 districts, there was a declaration of the acceptability, in principal, of Option C) by landowners. However, the landowners also insisted that awareness within their families (specifically family line) should be raised – otherwise, the landowners would risk being accused by their families of having sold family land.

To ensure monitoring of this risk and the proposed mitigation measures, the Technical Committee will have a Land Security Subcommittee. As the three options are innovative, amendments will need to be made, particularly during the first years of the Project. Management of land arrangements and conflicts will be based on two main elements:

1. A specific indicator will be created to analyze the availability of possible land options in the villages covered by the Project area. Monitoring of this indicator will be conducted annually.
2. Analysis of land security options will be one of the key subjects in adaptive land-use planning at the end of each year (See the chapter on adaptive land-use planning). A participatory analysis will be conducted in a sample of villages in each district at the end of the year. In each village, the strengths and weaknesses of each option will be identified. An analysis of the causes of each of the weakness and strengths will be jointly conducted. “Brainstorming” will then be carried out to make adjustments for the following year.

Normally, land conflicts are between landowners – and sometimes (or maybe particularly) between real and fake landowners (individuals who fraudulently present themselves as land owners). These conflicts arise during the securing of land belonging to landowners, but will be resolved by the competent departments.

Risk #2 Tenure and Benefits. Land rights systems could hinder equitable sharing of the benefits. Medium probability, medium impact.

Description: Traditional land systems grant more powers and rights to men than women, despite the matrilineal nature of this society. Moreover, appropriation rights are only recognized for Congolese people of Bantu origin (and not for indigenous people) even on land worked by two, three, or even several generations of indigenous populations. Nearly all landowners are Bantu men. Women typically have access to land through their husbands or men from their family line. In case of divorce or death of a husband, the woman loses her land access rights. Young people have little interest in the agricultural sector. Indigenous populations have even less access to the land and they are never landowners in the Project area. Within this context, without implementing concrete initiatives, it is unlikely that women, young people or indigenous people will be able to negotiate directly with landowners for medium to long-term contracts with the right to plant trees. Development of management and farming capacities will be very difficult, particularly for women and indigenous peoples. The level of quality required by the Project for the selection of beneficiaries of agroforestry and forestry initiatives could prove to be a barrier to participation if application compilation techniques are poorly mastered by beneficiaries. Business plans and other forecast management concepts are unknown to them. Women and indigenous peoples are the least capable of meeting these requirements.

This risk has the potential to affect several Project activities including: Establishment of formal agreements to strengthen tenure security (Act. 1.1.1), transfer of access and use rights to smallholders (Act. 1.1.2), establishment of fast start tree plantations (Act. 2.1.1), establishment of agroforestry and forestry systems (Act. 2.2.2), and development and implementation of business plans for beneficiaries in forest and savanna areas (Act. 3.1.1 & 3.1.2)

Mitigation Measures: After major consultations, the Project developed this Environmental and Social Risk Management Framework, a Gender Action Plan and a Planning Framework for Indigenous Peoples, which precisely define the target objectives, the monitoring and evaluation indicators, as well as the approach towards mitigating the risks of marginalization of the latter. In this sense, equitable sharing of the Project benefits involves not only the activities requiring access to land (deployment of agroforestry systems under Component 2), but also activities related to resource use planning and building business capacities (Component 1), and value chains (Component 3). For example, in the specific case of Component 2, special

efforts will be made to ensure equitable access to the three land access options retained by the Project for men, women, young people and indigenous populations.

Notably, the Project will favor the most vulnerable beneficiaries in land access negotiations with landowners and will ensure that they benefit from access to state land (such as land made available by PRONAR) where such land is available. Moreover, the most vulnerable beneficiaries, particularly women and indigenous peoples, will benefit from targeted capacity building, as well as technical and financial support specific to their requirements and appropriate for the local context in order to guarantee effective participation. The Project has set two targets: a) At least 35% of groups benefiting from Component 2 will be women's groups, and; b) the percentage of indigenous peoples who benefit will, at least, be equal to the proportion of Bantu from the village benefiting from the Project.

All land right options require a very effective awareness raising campaign for landowners and non-land owners in the target villages. Ideally, the awareness raising activity should be conducted in such a way that options B) and C) are identified by the villagers and landowners themselves. Awareness raising activities among local populations and potential initiators must be carried out transparently and with respect for the principles of good governance. The Project will implement the following measures:

1. Awareness raising of the local people in all villages targeted by the Project;
2. Awareness raising of all strata of the population, particularly men, women, young people and indigenous people;
3. Specific awareness raising of families of land owners so that they understand and support land security options B) and C) and that options B) and C) are available to all strata of the population;
4. Awareness raising campaigns so that each group of stakeholders understands that it is eligible to develop its own agroforestry and forestry initiatives;
5. The Project will conduct an analysis of the capacity building requirements of the different groups interested in developing initiatives and should develop training programmes to fill identified gaps.
6. The screening criteria for initiatives and the screening procedures for funding applications must be transparent and known by everybody. Reasons for non-acceptance of applications must be communicated transparently;
7. Each application for agroforestry and forestry initiatives must include an equitable cost and benefit sharing plan. Service providers supporting the development of applications must ensure that all members of each group have taken part in developing the plan and that all members have approved the plan. It is up to the members of each group to define what is equitable – and not up to the Project and the stakeholders working for the Project.

With regard to the difficulty faced by marginal groups in meeting the Project requirements for funding of agroforestry and forestry initiatives, the Project plans to support interested beneficiaries in developing their applications and implementing their business plans in accordance with the requirements. To this end, the Project will put in place an incubator for the initiative. Specific emphasis will be placed on effective farm management. Specific training and specific support will be organized in favor of women and indigenous peoples.

Risk #3 Pressure on Forests. Initial investments in agroforestry and forestry initiatives risk to become financially attractive and could increase the pressures and risks of deforestation and forest degradation. Low probability, high impact.

Description: One of the consequences of increasing the profitability of agricultural and agroforestry systems throughout the world is an increased rate of conversion of natural ecosystems into agricultural land¹². Congo has not remained on the fringes of this reality, and the deployment of the agroforestry systems retained within the context of this Project, present potential risks for increasing the rate of deforestation and forest degradation due to their risk financial profitability. This risk is particularly relevant in the case of production systems for the cocoa sector, the development of which has been retained as a priority by the Congolese government, with profitability analyses indicating that it is by far the most promising production system. Deforestation in favor of cocoa crops was the main direct cause of rain forest loss in West Africa¹³ and there is a strong chance that such a phenomenon may be replicated in Congo if the appropriate mitigation measures are not implemented.

This risk has the potential to affect on the establishment of agroforestry and forestry systems, whereby agroforestry activities expand in areas not under control of PRONAR (where the Project has full control), but as a result of support from the Project, such as on lands of beneficiary landowners that are not leased to the project. These beneficiary landowners may be tempted to enter into parallel contractual agreements to extend the area of their farms, and this may happen outside the scope of the Project.

Mitigation Measures: Agroforestry systems, as well as interventions to strengthen energy efficacy under this Project, will only be deployed within a context of fuelwood supply master plans in accordance with the land-use plans. As such, these interventions in forest areas will be implemented in geographical spaces solely intended for these purposes. In forest areas, funding of cocoa plantations will only be for already cultivated sites. In addition, the size of the funded initiatives will be limited to 5 ha in forest areas, and each initiative must strictly respect the environmental and social safeguards, specifically demonstrating that they are not causing, and will not cause, deforestation or forest degradation. These restrictions do not apply to savanna areas where cocoa production systems pose no direct danger to the forest. Furthermore, the Project will conduct widespread training and awareness raising campaigns on sustainable practices and standards for agricultural production, agroforestry, and low-carbon and potentially zero-deforestation energy efficiency.

Risk #4 Participation. The beneficiary screening criteria under Component 2, particularly counterpart requirements in terms of minimum initiative size and group registration risk to limit the participation of certain qualified candidates. Medium probability, medium impact.

Description: The Project plans to support production systems varying from a minimum of 10 ha in savanna areas and 5 ha in forest areas to a maximum area of 50 ha. Furthermore, the Project plans to use initial investment funds only to support initiatives that are able to contribute at least 10% of the investment cost. The Project plans to support only established and recognized groups, or groups that will start the procedure to become recognized within the context of the Project. All these preconditions will limit the participation of a large part of the population, including marginal groups, whose current cropping practices are on areas of land that are smaller than 5 ha (generally 1-2 hectares), with groups very often

¹² TetraTech. 2015. Working Paper on Sustainable Intensification without Extensification. USAID

¹³ Website of the International Institute of Tropical Agriculture

not being registered and without substantial savings to cover the upfront cost of their contribution, which is deemed prohibitive.

This risk may affect many of the Project activities, especially those which involve local beneficiaries (See Section 2.3 for details).

Mitigation Measures: To achieve women and indigenous people's participation target, the Project will, if necessary, amend the minimum size requirements or the contribution payment conditions for groups of women or indigenous peoples. For example, in non-mechanized sites, the Project may support production systems of approximately 2 ha or even exceeding 5 ha in mechanized areas. The Project may also open up to informal groups and groups of individuals capable of creating common interest group (see ID experience), as the important thing is to bring together people motivated by learning and agroforestry, not to serve groups established just for this occasion. With regard to contribution costs for women, the Project may agree about the payment of a part in advance, and a part when the first income is generated, with removal of the contribution for indigenous peoples. The Project must monitor the proportion of initiatives put forward by women and indigenous peoples and lower the eligibility conditions, where necessary in order to ensure full participation of all these strata of the population.

Risk #5 Management Capacities. Development of the management capacities of members of beneficiary groups will be difficult, particularly for women's and indigenous groups. Medium probability, low impact.

Description: The level of quality required by the Project for selected beneficiaries of agroforestry and forestry initiatives could prove to be a barrier to participation if application development techniques are poorly mastered by the beneficiaries. In fact, the preparation of business plans and other forecast management concepts is unknown to them. Women and indigenous peoples are the least capable of meeting these requirements. Management capacity limitations may also affect other areas of the project, including planning activities and development of national financial institutions.

Activities that may be affected by management capacity risks include: Rehabilitation of nurseries (Act. 2.3.1), Development of a national financial inclusion strategy and formalization of MFIs (Act. 3.2.1), Capacity building of national financial institutions on rural finance for agriculture (Act. 3.2.2), Capacity building of national financial institutions on green investment in agroforestry and forestry sectors (Act. 3.2.3).

Mitigation Measures: The Project will aim to accurately match capacity building needs with training and other technical assistance through capacity needs assessments tailored to different stakeholder groups. The Project will assign mentors with established experience to each group of beneficiaries for mentoring support in respect to the development and implementation of their respective business plans over the course of their activities. To this end, the Project will put in place an incubator structure. Specific emphasis will be placed on effective farm management. Specific training and support will be organized in favor of women and indigenous peoples.

Risk #6 Indigenous Peoples. Indigenous peoples may not benefit from the Project due to their marginalization. Medium probability, low impact.

Description: Indigenous peoples (IP) are victims of much discrimination by the Bantu populations. For example, IP are never landowners. Their products and work are poorly developed compared with that of the Bantu. During conflicts in villages, they are never successful with the village chiefs and they are not integrated into decision-making structures. Indigenous peoples in existing groups rarely benefit from equitable sharing of benefits. It would be particularly difficult for indigenous peoples to negotiate medium/long-term land access contracts. They would find it even more difficult to meet the minimum eligibility conditions for funding of initiatives and their greatest difficulty would be in building business management capacities. With no specific measures, there is very little chance that they could benefit from the support offered by the Project.

Many of the activities run the risk of excluding indigenous peoples from benefiting. Please see Section 2.3 for more details.

Mitigation Measures: A Planning Framework for Indigenous Peoples in line with the GCF and FAO safeguards was developed within the context of feasibility studies for the Project. This plan accurately identifies the barriers for to effective participation by indigenous peoples and proposes ways and means to correct their marginalization and guarantee their active participation in the Project activities. The Project will pay particular attention to ensuring the participation of IP, particularly by using positive discrimination when selecting initiatives. It is particularly important for the percentage of indigenous peoples benefiting from the Project to be proportional to the number of Bantu in the village benefiting from the Project. Moreover, the Project will implement specific measures for IP, particularly through training and support in securing their land tenure rights, as well as the establishment of a complaints and monitoring management system.

Risk #7 Governance. The governance level of the government’s administrative and technical departments is poor, which could compromise the implementation of certain Project components. Low probability, low impact.

Description: Good governance is a major concern in Congo, which is classified 165th out of 180 countries on the Transparency International Corruption Perceptions Index. This governance issue is particularly seen in the implementation of development projects, such as this one. In fact, during feasibility surveys, the stakeholders consulted emphasized the lack of transparency during similar recent initiatives and explicitly expressed their doubts about impartiality in analyzing and selecting applications for the agroforestry and forestry initiatives that will be supported. The low level of governance could hinder the effective implementation of the Project.

Activities that could be impacted by this risk include Establishment of formal agreements with beneficiaries and land owners and provision of support to strengthen tenure security rights (Act. 1.1.1), Transfer of access and use rights on government land to smallholder farmers/producers (Act. 1.1.2) and Rehabilitation of nurseries (Act. 2.3.1),

Mitigation Measures: The Project will strengthen transparency in application review and screening for beneficiaries initiatives, particularly through dissemination of the selection criteria, publication of the selection results and reasons for selection/rejection, as well as support to tenderers in reviewing rejected applications.

The Project will strengthen transparency in the analysis and selection of initiative applications from beneficiaries. Awareness raising of local populations, dissemination of the selection criteria, and training and support in developing funding request applications for agroforestry and forestry initiatives will be offered by service providers, particularly NGOs. A local committee will conduct an initial analysis of the submitted applications to ensure that each one is complete and to give their opinion. The primary analysis and selection of applications to be funded will be conducted by a mixed committee in the PMU. There will be members of ministries, members of the Project team and independent experts. The Safeguard Specialist recruited by the Project (within the PMU) will determine whether there are specific safeguards that require an opinion from the specialized subcommittees of the Technical Committee or recourse to other expertise. The selection committee will prepare a written justification the selection or non-selection of each application. The selection results and the reasons for selection/rejection will be sent to the applicants and support will be given to applicants in reviewing rejected applications.

Risk #8. Health. The use of pesticides and other chemical agricultural inputs as well as the disturbance of natural ecosystems potentially leading to emerging disease, could have adverse effects on the health of populations and the environment. Low probability, low impact.

Description: Pesticide and chemical fertilizer use in Congo is relatively low due to its unavailability and high cost, but it is increasing with agricultural intensification. Agroforestry techniques increase the efficiency of fertilizers, but do not eliminate the need for their use. Agricultural producers have very little information on the effective use of agricultural chemical inputs. Integrated pest and pesticide management is scarcely developed in Congo.

This risk has the potential to impact activities related to Establishment of fast start tree plantations for energy purpose (Act. 2.1.1), Establishment of agroforestry and forestry systems (Act. 2.2.2), and Deployment of Assisted natural regeneration (Act. 2.3.2).

In addition, the disturbances to ecosystems brought about by agroforestry and assisted natural regeneration activities could lead to the emergence of latent or new diseases brought about through contact between people and disease vectors in the environment. (Act. 2.2.4 and Act. 2.3.2).

Mitigation Measures: For management of pesticides, the applicable standard is FAO Environmental and Social Standard 5 (ESS 5). The objectives of ESS 5 are the following:

1. Promotion of integrated pest management;
2. Reduction of pesticide dependence;
3. Minimization of the adverse impact of pesticide use.

Following the explanation of the scope of ESS 5, this standard applies to the Project, because agricultural intensification through the promotion of agroforestry (particularly) and forestry arrangements could indirectly contribute towards an increase in the use of certain pesticides. The FAO must promote integrated pest management as a basic principle for sustainable agricultural intensification. A pesticide management plan is not required, because the quantities of pesticides used will remain moderate. However, if there is a need to use pesticides, after analyzing the options for integrated pest management, the choice of pesticides must be closely studied. The factors to be taken into account when selecting pesticides are:

1. Their selectivity;
2. Risks to non-target species;

3. Their persistence in the environment;
4. Their efficiency;
5. The probability of resistance development.

At a minimum, an environmental and social analysis is necessary before selecting pesticides for approval. The following criteria should be met before a pesticide is approved for use in an FAO project:

1. The pesticide must be registered in the country or must be specifically permitted by the competent authority. All conditions specified for registered products must be met;
2. Users must be capable of managing the product within acceptable risk margins;
3. Preference is given to less dangerous, more selective, less persistent pesticides with less dangerous methods of application that are the best targeted and that require the least pesticide;
4. Any procurement of pesticides on the international market must meet the conditions specified by the site <http://www.pic.int/Implementation/Pesticides>

Some production systems will also require the use of moderate quantities of chemical fertilizers. Agroforestry techniques minimize the need to use fertilizers/soil conditioners, but they do not eliminate it. The quantities of chemical fertilizers used are expected to be very modest.

The spread of latent disease may be controlled through guidelines for surveillance of outbreaks in the project area.

Risk #9: Labor. Labor issues including child labor, discrimination in selection processes, and abusive working conditions may be linked to some project activities. Medium probability, low impact.

Description: There is a medium probability that some labor abuses could be associated with the Project activities. Such instances could include for example, employment of children in the agroforestry or ANR activities, in the establishment of tree nurseries and plantations. While Congolese laws forbid children under 16 years of age to work, the Project may face challenges to enforce the appropriate involvement of children in activities, particularly in poorer remote locations where school attendance may not be regular and where families depend on labor contributions from their children.

There is also the possibility of discrimination in hiring processes, particularly by subcontractors or project partners. For instance, women or indigenous people may face prejudices in recruitment and even lack of information about work opportunities, thereby limiting their access to benefits. Sexual harassment in the workplace or during implementation of project activities may also occur.

Labor-related risk could affect several project activities including Establishment of fast start tree plantations for energy purpose (Act. 2.2.1), Rehabilitation of nurseries (2.3.1), and Deployment of Assisted natural regeneration (Act. 2.3.2).

Mitigation Measures:

The Project will comply with [FAO Environmental and Social Management Guidelines](#) (Standard 7) and [FAO's Compliance Reviews \(2015\)](#) describing the process and procedures related to alleged non-compliance with FAO's environmental and social policy standards, the [FAO framework on ending child labour in agriculture](#). Incidence of child labor in Project supported activities will lead to the immediate

suspension of support to the implementing partner. Non-compliance on child labour issues in accordance with the above policy frameworks will also be highlighted specifically in the design of the Project-level grievance mechanism. FAO reconfirms and will monitor closely during the project implementation that beneficiaries that could potentially employ children below the nationally defined minimum employment age (16) will not be eligible as recipients of the project technical and financial support.

To prevent child labour in agroforestry and ANR activities, the Project intends to address this concern by developing and delivering child labour sensitive messages within its communication and outreach, as well as capacity development activities aiming at increasing safety with specific messages about hazards and health consequences for children (see for example a typical visual tool used to raise awareness at community level on hazardous pesticides and child labour - <http://www.fao.org/3/a-i3527e.pdf>) The Project will set up a strong monitoring system with specific child labour indicators.

The content of the Project's grievances redress mechanism, including its methodology and potential remediation, will be developed during the Project inception phase, and will be aligned with FAO's Compliance Reviews policy. Concerns must be first addressed at the project level. If good faith attempts to resolve a concern or grievance with the Project management are unsuccessful, or if a complainant has demonstrated a good reason for not approaching the Project management (e.g., reasonable fears about their safety), a request for Compliance Review may be filed with the Office of the Inspector-General (OIG) in accordance with FAO's Guidelines for Compliance Reviews Following Complaints Related to the Organization's Environmental and Social Standards (2015). The Grievance mechanism may also be aligned to a national mechanism under the national REDD+ programme, as appropriate.

With regards to sexual harassment, all FAO employees are obligated to undergo training on sexual harassment in the workplace and to become familiar with procedures for addressing such abuse. Issues of sexual harassment or gender-based violence in relation to project activities, may also be addressed by the grievance mechanism.

Risk #10: Displacement. On the ground interventions (agroforestry/ANR) could lead to displacement of informal settlers/land occupants, or undocumented claimants on both public and private lands as well as potential restriction of access to forest resources, affecting traditional forest users. Low probability, medium impact.

Description:

The enabling activities in Component 1, will involve the identification of the limit of conservation areas, and ANRs in savanna-forest transition. This activity would likely entail land use/access restrictions and may cause displacement of informal settlers/land occupants, tenants, or undocumented claimants on both public and private lands (Act. 1.2.2). Component 2 activities, particularly the establishment of individual or group agroforestry or forestry systems would also have potential involuntary resettlement impacts due to possible displacement of informal settlers/land occupants, tenants and undocumented occupants, as well as potential restriction of access to forest resources, affecting traditional forest users.

Mitigation Measures:

The assessment of the risks relating to the ESS5 and any mitigation measure can be based on the information obtained from the M&E officer and the ESG/IP expert. If these are very uncommon, mitigation

measure may not need a separate Resettlement Policy Framework and may only include avoidance of displacement by strictly screening out lands that have occupants other than the beneficiaries from the program support. Restriction of access has been already addressed.

6.4. Project Risk Category

Depending on the identified risks, as well as their probability and impact, and depending on the application of the environmental and social risk identification checklist in Appendix 1 of the FAO Guidelines for Environmental and Social Management 2015, the same risk category that was allocated during Project identification is upheld – Moderate Risk. The mitigation measures required for each of the risks identified for Category 2 projects (such as this project) were presented above, and the hierarchical order of risk is presented below.

- Risks 1 and 2 are in first place because land rights is fundamental to the success of the Project and carbon emission reduction strategies. Risk 2 is retained because the three land rights and access options will have little impact if these options are not applied equitably between the different target beneficiaries.
- Risk 3 is in third place only because of the agroforestry production system integrating cultivation of cocoa. The probability is low, but the potential impact may be substantial if there is ever large-scale development of the sector. Deforestation in favor of cocoa farming is the main factor behind the loss of rain forests in West Africa.
- Risks 4, 5 and 6 are all of medium probability with no exceptional impact.
- Risks 7 and 8 are low probability.

6.5. Other Elements in the ESMFP

6.5.1. Miscellaneous

Management of land arrangements and conflicts is covered in the mitigation measures for Risks 1 and 2. Pest and pesticide management is covered in the mitigation measures for Risk 8. The success of the Project depends on the equitable sharing of costs and benefits of the different activities. The Project should ensure that there are procedures and opportunities to define the rules of equitable sharing. The members of groups undertaking agroforestry and forestry initiatives should define what is equitable for themselves. It is not the responsibility of the Project or its partners to define what will be equitable from one group to another.

6.5.2. Cultural heritage

The project is not expected to have impacts on cultural heritage. Nevertheless, the Project will strictly avoid implementation of on-the-ground activities on sacred grounds, religious buildings, and burial sites.

6.5.3. Stakeholder engagement and information disclosure

The Project will follow good practice in sharing information and disclosure on the ESRMF and related safeguards reports, in line with the GCF Information Disclosure Policy and related Environmental and Social Policy on disclosure of subprojects [which indicates that: in the case of Category B subprojects, the ESIA and an Environmental and Social Management Plan (ESMP) will be disclosed at least 30 days in advance of the approving authority's decision.] The safeguards reports will be available in English and French and also submitted to the GCF for posting.

6.5.4. Biodiversity management plan

The GCF Environmental and Social Policy specifies that any activity funded by the GCF should be designed and implemented in a way that protects and conserves biodiversity and critical habitats, ensures the protection of environmental water sources and the maintenance of ecosystem services, and promotes the sustainable use and management of natural biological resources.

The Project area is dominated by savanna interspersed with gallery forest, lowland and secondary and shrub forests. Most researchers believe that Congo savannas are maintained by humans¹⁴ – without human intervention, the savannas would be reconverted into dense forest. There is less biodiversity in savanna than in dense forest. Clear priority is given to conservation of the biodiversity of natural forest over the biodiversity of savanna. Apart from protected areas, expansion of agriculture into savanna areas has a reduced impact. Expansion of agriculture into forest areas has a substantial impact on biodiversity. The Project will therefore give priority to biodiversity conservation in:

1. Protected areas and buffer zones;
2. Sites recognized for the importance of their biodiversity;
3. The largest blocks of forest (the least fragmented);
4. The least degraded forests;
5. Corridors linking forest blocks.

Within the context of the Project, the Technical Committee will create a Biodiversity Subcommittee that will supervise the measures taken to minimize adverse effects on biodiversity.

Invasive species. The Biodiversity Subcommittee must minimize the risk of species being used for agroforestry and forestry production systems to become invasive. In particular, species that could primarily invade dense natural forest and secondarily invade degraded forests should be avoided. No such species were identified during development of the risk management plan.

Species that could aggressively invade savanna should also be avoided. However, it is sometimes desirable for the species being used to have a certain regeneration potential. If seeds need to be regenerated using young nursery-grown plants, that reduces the profitability of the production system. For example, some species of Australian acacia trees used in fuelwood plantations and in agroforestry production systems may regenerate, particularly after a fire. These acacias do not regrow from stumps. If a fire runs through a plantation of these acacias after clearcutting, there may be regeneration through seedlings. The seeds are dense with no wings and do not propagate far by wind. They do not seem to have vectors (such as birds) for remote propagation. Australian acacia trees may regenerate by seedlings. These acacias are planted abundantly in Congo and will therefore not be introduced by the Project. They are not also considered by Congo as invasive species by any legal text.

Leucaena leucocephala and *Albizia lebbek* seem to be invasive in the savanna areas in the region of Nkayi/Dolisie. The *Leucaena* was probably introduced as an agroforestry species. These two species are not proposed in the Project production systems. *Senna siamea* was introduced during colonial times and does not seem to be problematic. Nursery gardeners in Nkayi and the former director of the PROFADÉLL project around the protected area of Lesio Louna in Pool District noted that *Acacia australiens* regenerate by seedlings after a fire, but that they do not spread far from their planting site. The former director of

¹⁴ Walters, G. 2007. Fire Primer for the Batéké Plateau, Central Africa. University College London.

PROFADELL stated that there was some eucalyptus regeneration in their fuelwood plantations, but only under cover of the plantation.

The Project should specifically look into species that are already well-known and tested in the Project area. The Biodiversity Subcommittee (BDSC) should conduct investigations into the invasive nature of the species proposed for the production systems, including documentary analyses and websites on invasive species. The BDSC should also conduct field site visits in places where species have already been tested, to directly analyze the risk of invasion. The Subcommittee should identify species that should be absolutely avoided, species that could be used everywhere and species that should be used with special care.

6.5.5 Gender action plan

The Gender Action Plan is presented in Appendix B. A summary is presented here.

Strategic Guidelines

The objective of this action plan is crosscutting gender integration in the GCF Project. It provides guidelines on priority actions within the logical framework, as well as those to be taken into account during the implementation, monitoring and evaluation of the Project.

Logical framework of the Project:

As reflected in the Project document, the logical framework will integrate objectives and indicators disaggregated by gender (the indicators will allow monitoring of progress over time, while following changes throughout the Project). The gender dimension must be crosscutting through all axes of intervention and should not only incorporate a few actions in favor of women. The results, indicators and activities should therefore already be pre-defined in the logical framework. This would force the Project implementation team to formulate actions in annual operational plans.

The Project will ensure that the stipulated institutional provisions take the gender issue into account, that they enable implementation of strategies, and measure the proposed gender integration.

At implementation level:

- The Project's overarching gender target has been clarified as 'at least 35% women' or 35%. In this sense, while striving for gender equality (50/50 male-female participation), some activities will be expected to have more or less women but none less than 35% women. By committing to and communicating a clear project-wide target of 35% women for every activity, the project team, its counterparts and partners will be better coordinated to support this clear objective.
- The implementation of the GAP will be the responsibility of all members of the project team, and job descriptions/terms of reference for all team members will reflect various tasks in relation to the GAP and gender mainstreaming. Overall management/ supervisory responsibility for the plan's implementation will fall with the Chief Technical Adviser and Lead Technical Officer. Gender experts at national and headquarters level will track the implementation of the GAP, conduct the mid-term and final evaluation (as part of a team), and provide support on technical queries related to implementation.
- The project wide target of 35% women will be applied in recruitment to the Project Management Unit (PMU), with responsibility for day-to-day management.
- All data will be systematically disaggregated in the different activity reports and/or other Project documents in order to highlight the different situations of each of the targets (men/women/youth);
- During implementation, there will be a systematic focus on incorporating the specific needs of men, women, youth and elderly in all interventions.

- In addition, the Ministry for the Promotion of Women and Integration of Women in Development will coordinate closely with the project and provide support for gender mainstreaming (i.e. capacity building, awareness). This Ministry will also be represented in the Project's Technical Committee, part of the Project governance structure.
- A female focal point will be designated in each Project village to assist with information sharing and coordination among female beneficiaries.
- The Project will be based on the situational analysis and other qualitative and quantitative data (disaggregated by gender) at the time the gender impact of the Project's interventions is evaluated;
- The capacities of the Project team's agents will be strengthened on gender and development modules, to ensure effective gender mainstreaming in the different components of the GCF Project. Awareness raising and procedures for handling cases of GBV will be part of the capacity building strategy.
- A Project Stakeholder Engagement Strategy will specifically address how best to engage and ensure the benefits for women, youth, and the elderly in project activities.
- A Project Communication Strategy will include appropriate messaging on gender based violence (GBV).
- The Project Grievance mechanism will be fully accessible to women. The mechanism will include clear procedures to deal with GBV and those handling complaints will be trained on appropriate steps to take. Information will be forthcoming on medical, psychological, legal, security and socioeconomic support for victims. Complaints may be submitted orally if necessary.
- Prevention of GBV will also be promoted by incorporating messaging on GBV in the project's Communication Strategy, by encouraging household/couples dialogue, by mobilizing local traditional chiefs and leaders for GBV related conflict management, and by including GBV in the project' grievance mechanism. The project will collaborate with organizations providing support and advice on GBV (e.g. UNICEF, UNFPA, IFRC, MSF, ACOLVEF, and Thomas Sankara Association).
- Women's participation during meetings will be monitored. A notetaker will record how many times men and women intervene during meetings and how their interventions are handled (See table).

			Observations (If possible, the names of the people who participate)
 # of people attending			
 # of people who express their opinion			
 # of people who propose something that is then agreed upon			

At monitoring and evaluation level:

- Incorporation of the gender dimension in missions to evaluate performance and impact by the Green Climate Fund Project, including inclusion of gender objectives in the terms of reference (factors to be taken into account in all evaluations);
- Inclusion of gender expertise in the Project team;
Ensure that all data from the various evaluation reports is disaggregated by gender, specifying data for the “youth” category;
Ensure the availability of reports on successes or failures of initiatives or the achievement of gender objectives.

6.6. Adaptive management

The environmental and social guidelines recommend adaptive management. Adaptive management is found to be perfectly suited to this Project, because the interventions are innovative. For example, the land security options are innovative, but the Project team is aware that changes to the suggested approaches should be considered along the way to reflect the reality on the ground. The production systems are based on experiences in the country, but they go beyond already tried and tested experiences. The Project team must regularly analyze and modify them when necessary. The same applies to supply plans for urban centers. Adaptive management is part of modern life in many sectors.

For agroforestry and forestry initiatives, an annual participatory analysis will be conducted at the end of the campaign, using all those conducted during the year – socio-organizational, governance, technical and financial. The Project will identify those that worked effectively, and these will be used as a basis for planning the following year. Where problems are identified, the Project will conduct a participatory

analysis to identify the causes of the problems. “Brainstorming” will be conducted to identify solutions. Promising solutions will be integrated into the plan for the following year. After several years, the Project will be based on very solid initiatives. These annual analyses will be conducted in a sample of participating communities, perhaps four per district. A summary of results will be compiled, and the results will be communicated to all stakeholders.

The participatory analyses will be led by a qualified institution – an NGO, university or other.

6.7. Complaints and appeals management mechanism

When the Project is launched, all stakeholders will be informed that they have the right to make a complaint if they feel that implementation of the Project is characterized by injustices in terms of the FAO’s environmental and social standards. Contact details and procedures will be communicated to them. All complaints will be sent to the PMU who will share them with the MEF, the FAO, the SC and the TC. In order to align itself with the REDD+ national process, the Project plans to use the network of decentralized departmental REDD+ committees (CODEPA) as a mechanism for the management and transmission of complaints and appeals. However, the country’s complaints and appeals management mechanism is still not operational due to a lack of budget. The envisaged mechanism is described in the REDD+ National Strategy for the country¹⁵.

As an interim measure, and until the Congo’s REDD+ complaints and appeals management mechanism is implemented, the following measures will be deployed. The FAO will facilitate resolution of complaints made by beneficiaries concerning non-compliance with social and environmental commitments. The FAO will analyze each complaint in terms of its “Compliance Reviews Following Complaints Related to the Organization’s Environmental and Social Standards Guidelines”. These guidelines apply to all FAO programmes and projects. Complaints will initially be addressed to the PMU, the Project governing bodies and the FAO Country Office. If it is not resolved at Project level, a complaint may be sent to the FAO Regional Office. Ultimately, the complaint may be sent to the FAO Office of the Inspector General (OIG).

At Project level, the mechanism for the receipt and management of complaints will be published and/or communicated within Brazzaville, the departments, districts and villages. A focal point for the receipt and processing of complaints will be appointed at the MU.

If the beneficiary who lodged the complaint receives no response within a period of seven working days, he should resubmit the complaint to the FAO Regional Office at FAO-RAF@fao.org. The FAO Rome Environmental and Social Risk Management Office is mandated to support country offices and the regional office in managing complaints. Final recourse lies with the FAO Office of the Inspector General. The email address for this office is Investigations-hotline@fao.org. The guidelines can be found on the website <http://www.fao.org/aud/>.

6.8. Organizational structures, roles and responsibilities

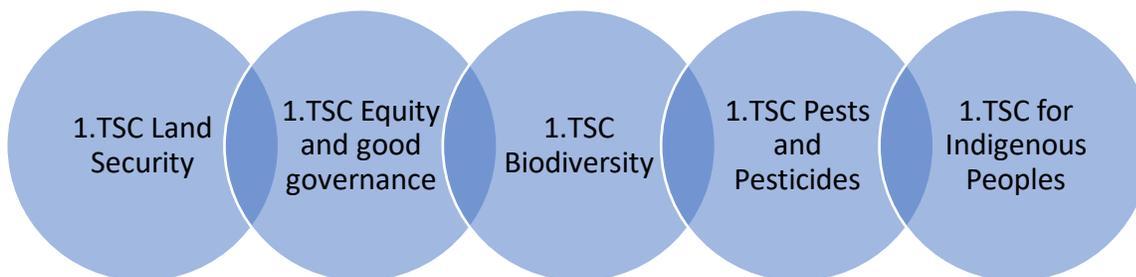
As indicated in the previous sections, the main governing bodies are the Steering Committee (SC), the Technical Committee (TC) and the Project Management Unit (PMU). The PMU will be responsible for

¹⁵ See pages 84-87.

[https://www.cafi.org/content/dam/cafi/docs/RoC%20documents/RCongo%20National%20REDD+%20Strategy-%20%20validate%20version%2016%20July%202016\).pdf](https://www.cafi.org/content/dam/cafi/docs/RoC%20documents/RCongo%20National%20REDD+%20Strategy-%20%20validate%20version%2016%20July%202016).pdf)

direct implementation of the Project and for coordination between the three components. It is therefore the PMU that will have operational responsibility for implementation of the ESS. The PMU will recruit a full-time expert who will be responsible for implementation of the ESMFP and the Planning Framework for Indigenous Peoples. This will be the Safeguard Specialist. The main stakeholders will vary between departments and districts, but will include Heads of departments, Heads of district, the Agricultural Unit Chief, the MEF representative and sometimes PRONAR and SNR. Partners, such as NGOs and the private sector, will vary between districts.

Furthermore, the Project will create subcommittees within the Technical Committee to provide technical advice on the PMU's work, particularly regarding monitoring of environmental and social impact, evaluating risk management plans submitted by the Project beneficiaries and periodically analyzing the efficacy of mitigation measures implemented. The following technical subcommittees (TSC) will be created (others may be created as required):



The TC and its subcommittees, specifically supported by the Safeguard Specialist and other PMU supervisors, must ensure that mitigation measures and environmental and social standards are integrated into implementation of the Project. Many of the risks are social risks and mitigation measures relate to equity and good governance. One of the most important roles of the Safeguard Specialist will be “objective” surveys in randomly selected villages in order to monitor and analyze the strengths and weaknesses of these measures and to propose modifications and improvements where necessary.

Structures, roles and responsibilities at district level are still to be defined. They will naturally vary from district to district, depending on the available institutions and human resources. The service providers that will raise awareness of the rural populations and provide training and support the development of application and monitoring during implementation of the initiatives are still to be defined. Their main roles are the following:

1. Raise awareness of the village populations, including families of land owners, men, women, young people and indigenous populations;
2. Regular and transparent communication with focal points in each target village;
3. Identification of groups and individuals interested in setting up agroforestry and forestry initiatives;
4. Training/support in setting up initiatives;
5. Analyses and approval/rejection of initiative applications;
6. Support to initiators;
7. Monitoring.

6.9. Screening of initiatives (sub-activities) and evaluation of environmental and social risks

Screening of environmental and social risks of initiatives (sub-projects) carried out by beneficiary will help fulfil the gap in the regulatory framework in respect to environmental and social impact assessment at sub-project levels. In the context of the implementation of the ESMFP, this will include the following interventions: (i) Identification of initiatives requiring a specific ESMP; (ii) Determination and planification of mitigation measures for activities with adverse environmental and social impacts; (iii) Identification of activities requiring specific Environmental and Social Impact Note (NIES); (iv) Definition of institutional responsibilities for the analysis and approval of results from selected sub-projects and implementation of mitigation measures proposed, and eventually elaboration of NIES report; (v) Monitoring of environmental and social indicators.

Step 1: Identification and preparation of sub-project document to be supported by the Project

The PMU will identify potential initiatives/sub-projects to be supported by the Project in collaboration with relevant local stakeholders and institutions (e.g. MEF, etc.), and based on eligibility criteria established by the Project. Project's designated experts will support and coordinate the preparation of sub-project document in collaboration with beneficiaries.

Step 2: Filling of the selection form and environmental and social classification

Once sub-project documents are completed, the Environmental and Social Safeguard Specialist and the Gender Specialist in consultation with local environmental and social safeguard consultants to be trained and/or hired by the Projects, as well as local partners, such as the Department Directions of the Ministry of Tourism and the Environment (MTE), the Ministry of Agriculture, Livestock and Fisheries (MAEP) and community leaders will complete sub-projects screening form in consultation with beneficiaries. The screening will include the followings: (i) Filling of the environmental selection form and the environmental and social checklist; (ii) Analysis of the planned activities and (iii) Classification of the activity concerned.

In addition to the potential environmental and social impacts, the screening results will also indicate the types of public consultations that carried out during the selection exercise. The completed forms will be sent to the PMU who will conduct the review, before transmission to the General Directorate for the Environment (DGE) for approval. Based on the screening results, the DGE will carry out a complete review of the form and assess the proposed environmental category.

The environmental legislation in the Republic of Congo has established an environmental classification of projects and sub-projects in three (3) categories (A = Project with certain major environmental and social risks requiring an ESIA; B = Project with possible important environmental and social risks requiring an Environmental and Social Impact Notice (NIES); and C = Project without significant environmental and social impacts neither requiring an ESIA nor NIES according to article 8 of Decree n ° 2009-415 dated 2 November 2009 stipulating the field of application, the content and the procedures for ESIA and NIES studies.

It is worth recalling that this Project is classified as Category 2 project in respect to national and international (FAO & GCF) standards. Accordingly, only sub-projects from category B and C may be supported by this Project.

Step 3: Application on environmental measures

When an NIES is not necessary: The Environmental Safeguard Specialist will refer to mitigation measures identified in this ESMFP to select those that are appropriate for the sub-project.

When an NIES is required: The Environmental and Social Safeguarding Specialist will carry out the following activities: (i) Preparation of the terms of reference for the NIES to be submitted to the DGE and FAO for review and approval; (ii) Recruitment of consultants to carry out the NIES; (iii) Public consultations in accordance with the terms of reference; (iv) NIES reviews and approval. A guideline for the TORs is provided in Annex 3.

Step 4: Review of ESIA report

The DGE in collaboration with the Environmental and Social Safeguard Specialist and other technical services of the Project Steering Committee (as provided for in the ESIA decree), will proceed to the examination and approval of environmental and social studies carried out for sub-projects classified in category A or B.

Step 5: Diffusion

The validation process for the ESIA/NIES study report takes place in two phases: (i) The public hearing or public consultation; and (ii) The technical analysis. The public hearing is intended for projects of categories A and B, while the public consultation is carried out for projects of category C. This information of the public includes in particular: (i) One or more meetings for the presentation of the project to local authorities, populations, NGOs and associations; (ii) The opening of a register accessible to the populations where the appreciations, observations and suggestions formulated in relation to the project are recorded. These consultations will identify the main problems and determine how to take into account the various concerns in the ToRs for the NIES.

To comply with consultation and dissemination requirements, the Project will produce an Information Letter to inform the GCF, FAO, DGE and other relevant stakeholders, notably those likely to be affected, of the approval of NIES. Relevant NIES reports will be uploaded into FAO website.

The Environmental and Social Safeguard Specialist in conjunction with the Project Communication Manager will lead the entire consultation process in the entire Project intervention area.

Step 6: Integration of environmental and social provisions into business plans/sub-project documents

Once the ESIA's have been carried out, environmental and social measures will need to be integrated into sub-project documents. This process will be carried out following two scenarios:

- For projects that do not require additional environmental work but only simple mitigation measures, the Environmental and Social Safeguard Specialist will draw from the list of environmental and social measures proposed above, the measures deemed appropriate to include in the sub-project document;
- For projects requiring additional environmental work (a NIES to be carried out), the Environmental and Social Safeguard Specialist will help recruit a consultant to carry out this study and include the related environmental and social measures into the sub-project document.

Before beginning of the sub-project activities, the beneficiary should submit an Environmental and Social Site Management Plan to the PMU validation. After validation, this ESMP should be implemented in accordance with the environmental prescriptions.

Step 7: Environmental and social impact monitoring

The environmental and social monitoring of activities will be carried out within the framework of the general monitoring system of the Project.

- **Supervision:** The activities will be supervised by the Project Steering Committee, alongside the PMU;
- **Monitoring:** Proximity monitoring of the work will be carried out by the central and departmental services of the DGE, alongside the Environmental and Social Safeguard Specialist and local monitoring consultants hired by the Project;
- **Evaluation:** The evaluation will be carried out by consultants (national and / or international), at the end of the Project.

Monitoring and evaluation indicators may include the followings:

Strategic indicators to be followed by the Project Steering Committee

- % of the sub-projects having been subject to environmental selection;
- Number of environmental and social monitoring reports prepared;
- % of the actors trained within the framework of the implementation of the ESMP

Indicators to be followed by Specialists in environmental and social safeguards

- % of the sub-projects including environmental clauses in the execution records;
- % of sub-projects passed to screening;
- % of training sessions organized and % of people applying the training skills received;
- % of awareness sessions organized;
- % of local actors involved in monitoring;
- % of beneficiaries complying with health and safety measures;
- % of complaints registered and processed;
- % of workers with PPE;
- % of personnel injured during the works;
- % of people employed locally;
- % of companies with a site ESMP;
- % Of training sessions organized and % of people applying the themes received.

Step 8: Reporting

The Safeguard Specialist and Technical Subcommittees of the TC will prepare periodic reports for the relevant activities in line with the Project's reporting schedule. The Technical Committee and Steering Committee will provide guidelines to the PMU and particularly the Safeguard Specialist every time they meet.

6.10. Roles and responsibilities of the Technical Subcommittees

The responsibilities of the subcommittees for the 8 identified risks are presented in the following table.

Table 10: Responsibilities of the subcommittees and the relevant FAO standards for each risk

Risk	Responsible Technical Subcommittees	Relevant FAO Standards
1. Difficulties relating to land access and security risk compromising the large-scale adoption of sustainable agroforestry and forestry technical production routes.	Land security	ESS 1 Natural resource management
2. Land rights systems hinder equitable sharing of the benefits of the components.	Equity and Good Governance Land Rights	
3. Initial investments risk becoming highly financially attractive and could increase the pressures and risks of deforestation and forest degradation.	Biodiversity	ESS 2 Biodiversity, Ecosystems and Natural Habitats
4. The counterpart requirements, in terms of minimum plantation size and group registration, risk limiting the participation of certain qualified candidates.	Equity and Good Governance	
5. There is a risk that development of management and farming capacities will be very difficult, particularly for women and indigenous people.	Equity and Good Governance	
6. The marginalization of indigenous peoples risks being aggravated.	Indigenous Peoples	ESS 9: Indigenous Peoples and their Cultural Heritage
7. The level of governance of administrative and technical government departments is poor.	Equity and Good Governance	
8. The use of pesticides and other chemical agricultural inputs as well as the disturbance of natural ecosystems potentially leading to emerging disease, could have adverse effects on the health of populations and the environment	Pests and Pesticides	ESS 5: Pest and Pesticide Management
9. Labor issues including child labor, discrimination in selection processes, and abusive working conditions may be linked to some project activities.	Equity and Good Governance	ESS 7: Decent Work
10. Some minor and localized pollution may be produced emissions and wastewater discharges from storage and processing equipment/facilities of agroforestry products.		
11. On the ground interventions (agroforestry/ANR) could lead to displacement of informal settlers/land occupants, or undocumented claimants on both	Equity and Good Governance Land Rights	ESS 6: Involuntary Resettlement and Displacement

public and private lands as well as potential restriction of access to forest resources, affecting traditional forest users.		
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6.10. Chronogram for the implementation

Measure	Proposed intervention	Timeline (year)								
		1	2	3	4	5	6	7	8	
Institutional measures	<ul style="list-style-type: none"> Hiring of Environmental and Social Safeguard, gender and IP Specialist Hiring of local ESIA focal points 									
Technical measures	Identification and preparation of sub-project documents									
	Environmental classification of sub-projects									
	Realization of NIES for sub-projects									
	Elaboration and implementation of environmental management plans									
Monitoring and evaluation	Environmental monitoring	Proximity monitoring								
		Supervision								
	Final evaluation									
Training/capacity building	Training/capacity building of beneficiaries on environmental and social impact risks management									
	Training/capacity building of ESIA focal points									
Information and awareness raising	Diffusion of NIES report results and or consultations/awareness raising of local stakeholders									

6.11. ESIA provisional Budget

Component	Output Title	Description	Year 1	Year 2	Year 3	Year 4	Year 5	Year 6	Year 7	Year 8	USD total costs
Component 1	Output 1.2	Environmental, social, gender and indigenous people expert (national expert, full time position). 1/3 of the cost	8.630	11.737	12.208	12.574	12.951	13.340	13.740	14.152	99.332
Component 1	Output 1.2	Gender expert	2.742	2.742	2.742	2.285	2.285	2.285	2.285	2.285	19.651
Component 1	Output 1.2	International mission of the gender expert	5.000	5.000	5.000						15.000
Component 1	Output 1.2	Consultations for (and oversight of) environmental, social, gender and indigenous people aspects (meetings)	4.000	4.000	4.000	4.000	4.000	4.000	4.000		28.000
Component 1	Output 1.2	Consultations for (and oversight of) environmental, social, gender and indigenous people aspects (travels necessary for technical support, monitoring and management of any risks)	4.000	8.000	8.000	8.000	8.000	8.000	8.000	8.000	60.000
Component 2	Output 2.2.	Environmental, social, gender and indigenous people expert (national expert, full time position). 1/3 of the cost	8.630	11.737	12.208	12.574	12.951	13.340	13.740	14.152	99.332
Component 2	Output 2.2.	Consultations for (and oversight of) environmental, social, gender and indigenous people aspects (meetings)	4.000	8.000	8.000	8.000	8.000	8.000	4.000	4.000	52.000
Component 2	Output 2.2.	Consultations for (and oversight of) environmental, social, gender and indigenous people aspects (travels necessary for technical	4.000	8.000	8.000	8.000	8.000	8.000	8.000	8.000	60.000

		support, monitoring and management of any risks)									
Component 2	Output 2.2.	Gender expert	5.484	5.484	5.484	4.570	4.570	4.570	4.570	4.570	39.302
Component 2	Output 2.2.	International mission of the gender expert			6.000		6.000		6.000		18.000
Component 2	Output 2.2.	Consultations for (and oversight of) environmental, social, gender and indigenous people aspects (meetings)		4.000	4.000	4.000	4.000	4.000	4.000		24.000
Component 2	Output 2.2.	Consultations for (and oversight of) environmental, social, gender and indigenous people aspects (travels)	4.000	8.000	8.000	8.000	8.000	8.000	8.000	8.000	60.000
Component 3	Output 3.3.	Environmental, social, gender and indigenous people expert (national expert, full time position). 1/3 of the cost	8.630	11.737	12.208	12.574	12.951	13.340	13.740	14.152	99.332
		TOTAL									673.949

ANNEXES

Annex 1: FAO environmental and social impact assessment check list

1: Trigger questions

	Question	Yes
1	<p>Could this project:</p> <ul style="list-style-type: none"> • result in the degradation (biological or physical) of soils or undermine sustainable land management practices; or • include the development of a large irrigation scheme, dam construction, use of waste water or affect the quality of water; or • reduce the adaptive capacity to climate change or increase GHG emissions significantly; or • result in any changes to existing legitimate tenure rights¹⁶ (formal, informal and customary¹⁷) of individuals, communities or others to land, fishery and forest resources? 	
2	<p>Would this project be executed in or around protected areas or natural habitats, decrease the biodiversity or alter the ecosystem functionality, use alien species, or use genetic resources?</p>	
3	<p>Could this project:</p> <ul style="list-style-type: none"> • introduce crops and varieties previously not grown, and/or; • provide seeds/planting material for cultivation, and/or; • involve the importing or transfer of seeds and or planting material for cultivation or research and development; • supply or use modern biotechnologies or their products in crop production, and/or • establish or manage planted forests? 	
4	<p>Would this project introduce non-native or non-locally adapted species, breeds, genotypes or other genetic material to an area or production system, or modify in any way the surrounding habitat or production system used by existing genetic resources?</p>	
5	<p>Could this project:</p> <ul style="list-style-type: none"> • result in the direct or indirect procurement, supply or use of pesticides¹⁸: <ul style="list-style-type: none"> ○ on crops, livestock, aquaculture, forestry, household; or ○ as seed/crop treatment in field or storage; or ○ through input supply programmes including voucher schemes; or ○ for small demonstration and research purposes; or ○ for strategic stocks (locust) and emergencies; or ○ causing adverse effects to health and/or environment; or • result in an increased use of pesticides in the project area as a result of production intensification; or 	

¹⁶ Tenure rights are rights to own, use or benefit from natural resources such as land, water bodies or forests

¹⁷ Socially or traditionally recognized tenure rights that are not defined in law may still be considered to be 'legitimate tenure rights'

¹⁸ Pesticide means any substance, or mixture of substances of chemical or biological ingredients intended for repelling, destroying or controlling any pest, or regulating plant growth.

	<ul style="list-style-type: none"> • result in the management or disposal of pesticide waste and pesticide contaminated materials; or • result in violations of the Code of Conduct? 	
6	Could this project permanently or temporarily remove people from their homes or means of production/livelihood or restrict their access to their means of livelihood?	
7	Could this project affect the working conditions or job prospects of project beneficiaries or others who may be impacted by it, or will the project directly or indirectly employ hired labour?	
8	Could this project risk overlooking existing gender discrimination or inequalities in terms of men’s and women’s participation in decision making and/or their differential access to productive resources, services and markets?	
9	<p>Would this project:</p> <ul style="list-style-type: none"> • have indigenous peoples¹⁹ living outside the project area²⁰ where activities will take place; or • have indigenous peoples living in the project area where activities will take place; or • adversely or seriously affect on indigenous peoples’ rights, lands, natural resources, territories, livelihoods, knowledge, social fabric, traditions, governance systems, and culture or heritage (physical²¹ and non-physical or intangible²²) inside and/or outside the project area; or • be located in an area where cultural resources exist? 	

Second level questions

SAFEGUARD 1. NATURAL RESOURCES MANAGEMENT

Question	Management of soils and land resources	No	Yes
1.1.	Could this project result in the degradation (biological or physical) of soils?	LOW RISK	MODERATE RISK Demonstrate how the project applies and adheres to the principles of the World Soil Charter
1.2.	Could this project undermine sustainable land management practices?	LOW RISK	HIGH RISK

¹⁹ FAO considers the following criteria to identify indigenous peoples: priority in time with respect to occupation and use of a specific territory; the voluntary perpetuation of cultural distinctiveness (e.g. languages, laws and institutions); self-identification; an experience of subjugation, marginalization, dispossession, exclusion or discrimination (whether or not these conditions persist).

²⁰ The phrase “outside the project area” should be read taking into consideration the likelihood of project activities to influence the livelihoods, land access and/or rights of Indigenous Peoples’ irrespective of physical distance. In example: If an indigenous community is living 100 km away from a project area where fishing activities will affect the river yield which is also accessed by this community, then the user should answer “YES” to the question.

²¹Physical defined as movable or immovable objects, sites, structures, group of structures, natural features and landscapes that have archaeological, paleontological, historical, architectural, religious, aesthetic or other cultural significance located in urban or rural settings, ground, underground or underwater.

²² Non-physical or intangible defined as “the practices, representations, expressions, knowledge and skills as well as the instruments, objects, artifacts and cultural spaces associated therewith that communities, groups, and in some cases individuals, recognize as part of their spiritual and/or cultural heritage”

			A full environmental and social impact assessment is required. Please contact the ESM unit for further guidance.
Question	Tenure	No	Yes
1.3.	Could this project result in a negative change to existing legitimate tenure rights?	MODERATE RISK Demonstrate how the project applies and adheres to the principles/framework of the Voluntary Guidelines on the Responsible Governance of Tenure of Land, Fisheries and Forests in the Context of National Food Security (VGGT)	HIGHER RISK A full environmental and social impact assessment is required. Please contact the ESM unit for further guidance.
	Climate	No	Yes
1.4.	Could this project result in a reduction of the adaptive capacity to climate change for any stakeholders in the project area?	LOW RISK	HIGHER RISK A full environmental and social impact assessment is required. Please contact the ESM unit for further guidance.
1.5.	Could this project result in a reduction of resilience against extreme weather events?	LOW RISK	HIGHER RISK A full environmental and social impact assessment is required. Please contact the ESM unit for further guidance.
1.6.	Could this project result in a net increase of GHG emissions beyond those expected from increased production?		LOW RISK
	1.6.1.	Is the expected increase below the level specified by FAO guidance or national policy/law (whichever is more stringent)?	HIGH RISK A full environmental and social impact assessment is required. Please
			PROCEED TO NEXT QUESTION
			LOW RISK

			contact the ESM unit for further guidance.	
	1.6.2.	Is the expected increase above the level specified by FAO guidance or national policy/law (whichever is more stringent)?	LOW RISK	HIGH RISK A full environmental and social impact assessment is required. Please contact the ESM unit for further guidance.
1.7.		Is the expected increase above the level specified by FAO guidance or national policy/law (whichever is more stringent)?	LOW RISK	HIGH RISK A full environmental and social impact assessment is required. Please contact the ESM unit for further guidance.

SAFEGUARD 2. BIODIVERSITY, ECOSYSTEMS AND NATURAL HABITATS

	Protected areas, buffer zones or natural habitats	No	Yes
2.1.	Would this project be implemented within a legally designated protected area or its buffer zone?	LOW RISK	HIGH RISK A full environmental and social impact assessment is required. Please contact the ESM unit for further guidance.
	Biodiversity Conservation	No	Yes
2.2.	Would this project change a natural ecosystem to an agricultural/aquacultural/forestry production unit with a reduced diversity of flora and fauna?	LOW RISK	HIGH RISK A full environmental and social impact assessment is required. Please contact the ESM unit for further guidance.
2.3.	Could this project increase the current impact on the surrounding environment for example by using more water, chemicals or machinery than previously?	LOW RISK	MODERATE RISK Demonstrate in the project document what measures will be taken to minimize adverse impacts on the environment and ensure that implementation of these measures is reported in the risk log during progress reports.
	Use of alien species	No	Yes
2.4.	Would this project use an alien species which has exhibited an invasive ²³ behavior in the country or in other parts of the world or a species with unknown behavior?	LOW RISK	HIGH RISK A full environmental and social impact assessment is required. Please contact the ESM unit for further guidance.
	Access and benefit sharing for genetic resources	No	Yes

²³ An invasive alien species is defined by the Convention on Biological Diversity as “an alien species whose introduction and/or spread threaten biological diversity” See <https://www.cbd.int/invasive/terms.shtml>

2.5.	Would this project involve access to genetic resources for their utilization and/or access to traditional knowledge associated with genetic resources that is held by indigenous, local communities and/or farmers?	LOW RISK	<p>MODERATE RISK</p> <p>Ensure that the following issues are considered, and appropriate action is taken. The issues identified and the action taken to address them must be included in the project document and reported on in progress reports. For plant genetic resources for food and agriculture (PGRFA) falling under the Multilateral System of Access and Benefit-sharing (MLS) of the International Treaty on Plant Genetic Resources for Food and Agriculture (Treaty), ensure that Standard Material Transfer Agreement (SMTA) has been signed and comply with SMTA provisions. For genetic resources, other than PGRFA falling under the MLS of the Treaty:</p> <ol style="list-style-type: none"> 1. Ensure that, subject to domestic access and benefit-sharing legislation or other regulatory requirements, prior informed consent has been granted by the country providing the genetic resources that is the country of origin of the resources or that has acquired the resources in accordance with the Convention on Biological Diversity, unless otherwise determined by that country; and 2. Ensure that benefits arising from the utilization of the genetic resources as well as subsequent applications and commercialization are shared in a fair and equitable way with the country providing the genetic resources that is the country of origin of the resources or that has acquired the resources in accordance with the Convention on Biological Diversity; and 3. Ensure that, in accordance with domestic law, prior informed consent or approval and involvements of indigenous and local communities is obtained for access to genetic resources where the indigenous and local communities have the established right to grant such resources; and 4. Ensure that, in accordance with domestic legislation regarding the established rights of these indigenous and local communities over the genetic resources, are shared
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			<p>in a fair and equitable way with the communities concerned, based on mutually agreed terms.</p> <p>For traditional knowledge associated with genetic resources that is held by indigenous and local communities:</p> <ol style="list-style-type: none"> 1. Ensure, in accordance with applicable domestic law, that knowledge is accessed with the prior and informed consent or approval and involvement of these indigenous and local communities, and that mutually agreed terms have been established; and 2. Ensure that, in accordance with domestic law, benefits arising from the utilization of traditional knowledge associated with genetic resources are shared, upon mutually agreed terms, in a fair and equitable way with indigenous and local communities holding such knowledge. Ensure that the project is aligned with the Elements to Facilitate Domestic Implementation of Access and Benefit Sharing for Different Subsectors of Genetic Resources for Food and Agriculture when it is the case
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SAFEGUARD 3. PLANT GENETIC RESOURCES FOR FOOD AND AGRICULTURE

		Introduce new crops and varieties	No	Yes
3.1.		Would this project Introduce crops and varieties previously not grown?	LOW RISK	MODERATE RISK <ul style="list-style-type: none"> • Follow appropriate phytosanitary protocols in accordance with IPPC • Take measures to ensure that displaced varieties and/or crops, if any, are included in the national or international ex situ conservation programmes
		Provision of seeds and planting materials	No	Yes
3.2.		Would this project provide seeds/planting material for cultivation?	LOW RISK	PROCEED TO NEXT Q
	3.2.1.	Would this project involve the importing or transfer of seeds and/or planting materials for cultivation?	LOW RISK	MODERATE RISK <ul style="list-style-type: none"> • Avoid undermining local seed & planting material production and supply systems through the use of seed voucher schemes, for instance

				<ul style="list-style-type: none"> • Ensure that the seeds and planting materials are from locally adapted crops and varieties that are accepted by farmers and consumers • Ensure that the seeds and planting materials are free from pests and diseases according to agreed norms, especially the IPPC • Internal clearance from AGPMG is required for all procurement of seeds and planting materials. Clearance from AGPMC is required for chemical treatment of seeds and planting materials • Clarify that the seed or planting material can be legally used in the country to which it is being imported • Clarify whether seed saving is permitted under the country's existing laws and/or regulations and advise the counterparts accordingly. • Ensure, according to applicable national laws and/or regulations, that farmers' rights to PGRFA and over associated traditional knowledge are respected in the access to PGRFA and the sharing of the benefits accruing from their use. Refer to ESS9: Indigenous peoples and cultural heritage.
	3.2.2.	Would this project involve the importing or transfer of seeds and/or planting materials for research and development?	LOW RISK	<p>MODERATE RISK</p> <p>Ensure compliance with Access and Benefit Sharing norms as stipulated in the International Treaty on Plant Genetic Resources for Food and Agriculture and the Nagoya Protocol of the Convention on Biodiversity as may be applicable. Refer also to ESS2: Biodiversity, Ecosystems and Natural Habitats.</p>
		Modern biotechnologies and the deployment of their products in crop production	No	Yes
3.3		Would this project supply or use modern plant biotechnologies and their products?	LOW RISK	<p>MODERATE RISK</p> <ul style="list-style-type: none"> • Adhere to the Cartagena Protocol on Biosafety of the Convention on Biological Diversity to ensure the safe handling, transport and use of Living Modified Organisms (LMOs) resulting from modern biotechnology that may have adverse effects on

			<p>biological diversity, taking also into account risks to human health.</p> <ul style="list-style-type: none"> • Adhere to biosafety requirements in the handling of Genetically Modified Organisms (GMOs) or Living Modified Organisms (LMOs) according to national legislation²⁴ • Take measures to prevent gene flow from the introduced varieties to existing ones and/or wild relatives
	Planted forests	No	Yes
3.4.	Would this project establish or manage planted forests?	LOW RISK	<p>MODERATE RISK</p> <ul style="list-style-type: none"> • Adhere to existing national forest policies, forest programmes or equivalent strategies. • The observance of principles 9, 10, 11 and 12 of the Voluntary Guidelines on Planted Forests suffice for indigenous forests but must be read in full compliance with ESS 9- Indigenous People and Cultural Heritage. • Planners and managers must incorporate conservation of biological diversity as fundamental in their planning, management, utilization and monitoring of planted forest resources. • In order to reduce the environmental risk, incidence and impact of abiotic and biotic damaging agents and to maintain and improve planted forest health and productivity, FAO will work together with stakeholders to develop and derive appropriate and efficient response options in planted forest management.

²⁴ Food and Agriculture Organization of the United Nations. 2011. Biosafety Resource Book. Rome, <http://www.fao.org/docrep/014/i1905e/i1905e00.htm>

SAFEGUARD 5. PEST AND PESTICIDES MANAGEMENT

Supply of pesticides by FAO		No	Yes
5.1.	Would this project procure, supply and/or result in the use of pesticides on crops, livestock, aquaculture or forestry?	LOW RISK	<p>MODERATE RISK</p> <ul style="list-style-type: none"> • Preference must always be given to sustainable pest management approaches such as Integrated Pest Management (IPM), the use of ecological pest management approaches and the use of mechanical/cultural/physical or biological pest control tools in favour of synthetic chemicals; and preventive measures and monitoring, • When no viable alternative to the use of chemical pesticides exists, the selection and procurement of pesticides is subject to an internal clearance procedure http://www.fao.org/fileadmin/templates/agphome/documents/Pests_Pesticides/Code/E_SS5_pesticide_checklist.pdf • The criteria specified in FAO’s ESM Guidelines under ESS5 must be adhered to and should be included or referenced in the project document. • If large volumes (above 1,000 litres of kg) of pesticides will be supplied or used throughout the duration of the project, a Pest Management Plan must be prepared to demonstrate how IPM will be promoted to reduce reliance on pesticides, and what measures will be taken to minimize risks of pesticide use. • It must be clarified, which person(s) within (executing) involved institution/s, will be responsible and liable for the proper storage, transport, distribution and use of the products concerned in compliance with the requirements.
5.2.	Would this project provide seeds or other materials treated with pesticides (in the field and/or in storage)?	LOW RISK	<p>MODERATE RISK</p> <p>The use of chemical pesticides for seed treatment or storage of harvested produce is subject to an internal clearance procedure [http://www.fao.org/fileadmin/templates/agphome/docu</p>

			ments/Pests_Pesticides/Code/E_SS5_pesticide_checklist.pdf]. The criteria specified in FAO's ESM Guidelines under ESS5 for both pesticide supply and seed treatment must be adhered to and should be included or referenced in the project document.
5.3.	Would this project provide inputs to farmers directly or through voucher schemes?	LOW RISK	<p>MODERATE RISK</p> <ul style="list-style-type: none"> • FAO projects must not be responsible for exposing people or the environment to risks from pesticides. The types and quantities of pesticides and the associated application and protective equipment that users of a voucher scheme are provided with must always comply with the conditions laid out in ESS5 and be subject to the internal clearance procedure [link]. These must be included or referenced in the project document. • Preference must always be given to sustainable pest management approaches such as Integrated Pest Management (IPM), the use of ecological pest management approaches and the use of mechanical or biological pest control tools in favour of synthetic chemicals
5.4	Could this project lead to increased use of pesticides through intensification or expansion of production?	LOW RISK	<p>MODERATE RISK</p> <p>Encourage stakeholders to develop a Pest Management Plan to demonstrate how IPM will be promoted to reduce reliance on pesticides, and what measures will be taken to minimize risks of pesticide use. This should be part of the sustainability plan for the project to prevent or mitigate other adverse environmental and social impacts resulting from production intensification.</p>
5.5.	Would this project manage or dispose of waste pesticides, obsolete pesticides or pesticide contaminated waste materials?	LOW RISK	<p>HIGH RISK</p> <p>A full environmental and social impact assessment is required. Please contact the ESM unit for further guidance.</p>

SAFEGUARD 7. DECENT WORK

		No	Yes
7.1.	Could this project displace jobs? (e.g. because of sectoral restructuring or occupational shifts)	LOW RISK	HIGH RISK A full environmental and social impact assessment is required. Please contact the ESM unit for further guidance.
7.2.	Would this project operate in sectors or value chains that are dominated by subsistence producers and other vulnerable informal agricultural workers, and more generally characterized by high levels “working poverty”?	LOW RISK	MODERATE RISK Take action to anticipate the likely risk of perpetuating poverty and inequality in socially unsustainable agriculture and food systems. Decent work and productive employment should appear among the priorities of the project or, alternatively, the project should establish synergies with specific employment and social protection programmes e.g. favouring access to some social protection scheme or form of social insurance. Specific measures and mechanisms should be introduced to empower in particular the most vulnerable /disadvantaged categories of rural workers such as small-scale producers, contributing family workers, subsistence farmers, agricultural informal wage workers, with a special attention to women and youth who are predominantly found in these employment statuses. An age- and gender-sensitive social value chain analysis or livelihoods/employment assessment is needed for large-scale projects.
7.3.	Would this project operate in situations where youth work mostly as unpaid contributing family workers, lack access to decent jobs and are increasingly abandoning agriculture and rural areas?	LOW RISK	MODERATE RISK Take action to anticipate likely risk of unsustainably ageing agriculture and food systems by integrating specific measures to support youth empowerment and employment in agriculture. A youth livelihoods/employment assessment is needed. Complementary measures should be included aiming at training youth, engaging them and their associations in the value chain, facilitating their access to productive resources, credit and markets, and stimulating youth- friendly business development services.
7.4.	Would this project operate in situations where major gender inequality in the labour market prevails? (e.g. where women tend to work predominantly as unpaid contributing family members or subsistence farmers,	LOW RISK	MODERATE RISK Take action to anticipate likely risk of socially unsustainable agriculture and food systems by integrating specific measures

	have lower skills and qualifications, lower productivity and wages, less representation and voice in producers' and workers' organizations, more precarious contracts and higher informality rates, etc.)		to reduce gender inequalities and promote rural women's social and economic empowerment. A specific social value chain analysis or livelihoods/employment assessment is needed for large-scale projects. Facilitation should be provided for women of all ages to access productive resources (including land), credit, markets and marketing channels, education and TVET, technology, collective action or mentorship. Provisions for maternity protection, including child care facilities, should be foreseen to favour women participation and anticipate potential negative effects on child labour, increased workloads for women, and health related risks for pregnant and breastfeeding women.
7.5.	Would this project operate in areas or value chains with presence of labour migrants or that could potentially attract labour migrants?	LOW RISK	MODERATE RISK Take action to anticipate potential discrimination against migrant workers, and to ensure their rights are adequately protected, with specific attention to different groups like youth, women and men.
7.6.	Would this project directly employ workers?	LOW RISK	MODERATE RISK FAO projects will supposedly guarantee employees' rights as per UN/FAO standards as regards information on workers' rights, regularity of payments, etc. Decisions relating to the recruitment of project workers are supposed to follow standard UN practices and therefore not be made on the basis of personal characteristics unrelated to inherent job requirements. The employment of project workers will be based on the principle of equal opportunity and fair treatment, and there will be no discrimination with respect to any aspects of the employment relationship, such as recruitment and hiring, compensation (including wages and benefits), working conditions and terms of employment, access to training, job assignment, promotion, termination of employment or retirement, etc.
7.7.	Would this project involve sub-contracting?	LOW RISK	MODERATE RISK Take action to anticipate likely risk of perpetuating inequality and labour rights violations by introducing complementary measures. FAO projects involving sub-contracting should

			promote, to the extent possible, subcontracting to local entrepreneurs – particularly to rural women and youth – to maximize employment creation under decent working conditions. Also, FAO should monitor and eventually support contractors to fulfil the standards of performance and quality, taking into account national and international social and labour standards.
7.8.	Would this project operate in a sector, area or value chain where producers and other agricultural workers are typically exposed to significant occupational and safety risks ²⁵ ?	LOW RISK	MODERATE RISK Take action to anticipate likely OSH risks by introducing complementary provisions on OSH within the project. Project should ensure all workers’ safety and health by adopting minimum OSH measures and contributing to improve capacities and mechanisms in place for OSH in informal agriculture and related occupations. For example, by undertaking a simple health and safety risk assessment, and supporting implementation of the identified risk control measures. Awareness raising and capacity development activities on the needed gender-responsive OSH measures should be included in project design to ensure workers’ safety and health, including for informal workers. Complementary measures can include measures to reduce risks and protect workers, as well as children working or playing on the farm, such as alternatives to pesticides, improved handling and storage of pesticides, etc. Specific provisions for OSH for pregnant and breastfeeding women should be introduced. FAO will undertake periodic inspections and a multi-stakeholder mechanism for monitoring should be put in place.
7.9.	Would this project provide or promote technologies or practices that pose occupational safety and health (OSH) risks for farmers, other rural workers or rural populations in general?	LOW RISK	HIGH RISK A full environmental and social impact assessment is required. Please contact the ESM unit for further guidance.
7.10.	Would this project foresee that children below the nationally-defined minimum employment age (usually 14	LOW RISK	CANNOT PROCEED Please contact the ESM unit for further guidance.

²⁵ Major OSH risks in agriculture include: dangerous machinery and tools; hazardous chemicals; toxic or allergenic agents; carcinogenic substances or agents; parasitic diseases; transmissible animal diseases; confined spaces; ergonomic hazards; extreme temperatures; and contact with dangerous and poisonous animals, reptiles and insects.

	or 15 years old) will be involved in project-supported activities?		
7.11.	Would this project foresee that children above the nationally-defined minimum employment age (usually 14 or 15 years old), but under the age of 18 will be involved in project-supported activities?	LOW RISK	MODERATE RISK Take action to anticipate likely risk of engaging young people aged 14-17 in child labour ²⁶ by changing design or introducing complementary measures. For children of 14 to 17 years, the possibility to complement education with skills-training and work is certainly important for facilitating their integration in the rural labour market. Yet, children under the age of 18 should not be engaged in work-related activities in connection with the project in a manner that is likely to be hazardous or interfere with their compulsory child's education or be harmful to the child's health, safety or morals. Where children under the age of 18 may be engaged in work-related activities in connection with the project, an appropriate risk assessment will be conducted, together with regular monitoring of health, working conditions and hours of work, in addition to the other requirement of this ESS. Specific protection measures should be undertaken to prevent any form of sexual harassment or exploitation at work place (including on the way to and from), particularly those more vulnerable, i.e. girls.
7.12.	Would this project operate in a value chain where there have been reports of child labour?	LOW RISK	HIGH RISK A full environmental and social impact assessment is required. Please contact the ESM unit for further guidance.
7.13.	Would this project operate in a value chain or sector where there have been reports of forced labour ²⁷ ?	LOW RISK	HIGH RISK

²⁶ Child labour is defined as work that is inappropriate for a child's age, affects children's education, or is likely to harm their health, safety or morals. Child labour refers to working children below the nationally-defined minimum employment age, or children of any age engaging in hazardous work. Hazardous work is work that is likely to harm the health, safety or morals of a child. This work is dangerous or occurs under unhealthy conditions that could result in a child being killed, or injured and/or made ill as a consequence of poor health and safety standards and working arrangements. Some injuries or ill health may result in permanent disability. Countries that have ratified ILO Convention No.182 are obligated to develop National lists of hazardous child labour under Article 4.

²⁷ Forced labour is employed, consists of any work or service not voluntarily performed that is exacted from an individual under threat of force or penalty. It includes men, women and children in situations of debt bondage, suffering slavery-like conditions or who have been trafficked. "In many countries, agricultural work is largely informal, and legal protection of workers is weak. In South Asia, there is still evidence of bonded labour in agriculture, resulting in labour arrangements where landless workers are trapped into exploitative and coercive working conditions in exchange for a loan. The low wages associated with high interest rates make it quite difficult for whole families to escape this

			A full environmental and social impact assessment is required. Please contact the ESM unit for further guidance.
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SAFEGUARD 8. GENDER EQUALITY

		No	Yes
8.1.	Could this project risk reinforcing existing gender-based discrimination, by not taking into account the specific needs and priorities of women and girls?	LOW RISK	MODERATE RISK Take action to anticipate likely risk of perpetuating or reinforcing discrimination by identifying specific needs and constraints of women and girls, and by designing measures to avoid doing harm and promote their empowerment.
8.2.	Could this project risk not providing men and women with equal opportunities to: <ul style="list-style-type: none"> • participate in decision making, • or access to productive resources, services and markets? 	LOW RISK	MODERATE RISK Take action to anticipate likely risk of unequal and socially unsustainable interventions, by identifying the constraints women and men face to participate in decision-making and to access productive resources, services and markets, and designing measures to ensure equal opportunities and benefits.

SAFEGUARD 9. INDIGENOUS PEOPLES AND CULTURAL HERITAGE

		No	Yes
9.1.	Would this project be implemented in an area where there are Indigenous Peoples ²⁸ living outside the project area ²⁹ where activities will take place?	LOW RISK	PROCEED TO NEXT QUESTION
	9.1.1. Could project activities influence Indigenous Peoples living outside the project area?	LOW RISK	MODERATE RISK

vicious circle. In Africa, the traditional forms of “vestiges of slavery” are still prevalent in some countries, leading to situations where whole families (adults and children, men and women) are forced to work the fields of landowners in exchange for food and housing. In Latin America, the case of workers recruited in poor areas and sent to work on plantations or in logging camps has been widely documented by national inspection services and other actors.” (ILO, Profits and poverty: the economics of forced labour / International Labour Office. - Geneva: ILO, 2014)

²⁸ FAO considers the following criteria to identify indigenous peoples: priority in time with respect to occupation and use of a specific territory; the voluntary perpetuation of cultural distinctiveness (e.g. languages, laws and institutions); self-identification; an experience of subjugation, marginalization, dispossession, exclusion or discrimination (whether or not these conditions persist).

²⁹ The phrase “Outside the project area” should be read taking into consideration the likelihood of project activities to influence the livelihoods, land access and/or rights of Indigenous Peoples’ irrespective of physical distance. In example: If an indigenous community is living 300 km away from the project area and their trade will be improved as a result of that project implementation, then the user should answer “YES” to the question.

				A Free, Prior and Informed Consent Process is required Project activities should outline actions to address and mitigate any potential impact
9.2.	Are there indigenous communities living in the project area where project activities will take place?		LOW RISK	PROCEED TO NEXT QUESTION
	9.2.1.	Is the project for Indigenous Peoples; or both, Indigenous and non-Indigenous Peoples?	LOW RISK	MODERATE RISK A Free, Prior and Informed Consent Process is required Project activities should outline actions to address and mitigate any potential impact.
	9.2.2.	Do project activities compromise Indigenous Peoples living within the project area?	LOW RISK	MODERATE RISK A Free, Prior and Informed Consent Process is required Project activities should outline actions to address and mitigate any potential impact.
9.3.	Could this project adversely or seriously affect Indigenous Peoples' rights, lands, natural resources, territories, livelihoods, knowledge, social fabric, traditions, governance systems, and culture or heritage (physical ³⁰ and non-physical or intangible ³¹) inside or outside the project area?		LOW RISK	HIGH RISK A full environmental and social impact assessment containing the Free Prior and Informed Consent process and an Indigenous Peoples Plan is required. Please contact the ESM/OPCA unit for further guidance.
9.4.	Would this project be located in an area where cultural resources exist?		LOW RISK	MODERATE RISK To preserve cultural resources (when existing in the project area) and to avoid their destruction or damage, due diligence must be undertaken to: a) verify that provisions of the normative framework, which is usually under the oversight of a national institution responsible for protection of historical and archaeological sites/intangible cultural heritage; and b) through collaboration and communication with indigenous peoples' own governance institutions/leadership, verifying the probability of the existence of sites/ intangible cultural heritage that are significant to indigenous peoples. In cases where there is a high chance of encountering physical cultural resources,

³⁰ Physical defined as movable or immovable objects, sites, structures, group of structures, natural features and landscapes that have archaeological, paleontological, historical, architectural, religious, aesthetic or other cultural significance located in urban or rural settings, ground, underground or underwater.

³¹ Non-physical or intangible defined as “the practices, representations, expressions, knowledge and skills as well as the instruments, objects, artifacts and cultural spaces associated therewith that communities, groups, and in some cases individuals, recognize as part of their spiritual and/or cultural heritage”

			the bidding documents and contract for any civil works must refer to the need to include recovery of “chance findings” in line with national procedures and rules.
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Annex 2: Environmental and social screening form

Formulaire de sélection environnementale et sociale

Le présent formulaire de sélection a été conçu pour aider dans la sélection initiale des activités du Project devant être exécutés sur le terrain. Le formulaire a été conçu afin que les impacts environnementaux et sociaux et les mesures d'atténuation y relatives, s'il y en a, soient identifiés et/ou que les exigences en vue d'une analyse environnementale et sociale plus poussée soient déterminées.

Formulaire de sélection environnementale et sociale

1. Nom de la localité où l'activité sera réalisée
2. Nom, fonction, et informations sur la personne chargée de remplir le présent formulaire.

Date :

Signatures :

PARTIE A : Brève description de l'activité proposée

Fournir les informations sur (i) le projet proposé (superficie, terrain nécessaire, taille approximative de la surface totale à occuper) ; (ii) les actions nécessaires pendant la mise en œuvre des activités et l'exploitation du projet.

Partie B : Brève description de la situation environnementale et sociale

1. L'environnement naturel

- (a) Décrire la formation du sol, la topographie, la végétation de l'endroit/adjacente à la zone d'exécution du projet
- (b) Faire une estimation et indiquer la végétation qui pourrait être dégagée
- (c) Y a-t-il des zones sensibles sur le plan environnemental ou des espèces menacées d'extinction

2. Écologie des rivières et des lacs

Y a-t-il une possibilité que, du fait de l'exécution et de la mise en service du sous-projet, l'écologie des rivières ou des lacs pourra être affectée négativement. Oui/Non

3. Aires protégées

La zone se trouvant autour du site du sous-projet se trouve-t-elle à l'intérieur ou est-elle adjacente à des aires protégées quelconques tracées par le gouvernement (parc national, réserve nationale, site d'héritage mondial, etc.) ? Oui/Non

Si l'exécution/mise en service du sous-projet s'effectuent en dehors d'une aire protégée (ou dans ses environs), sont-elles susceptibles d'affecter négativement l'écologie de l'aire protégée (exemple : interférence les routes de migration de mammifères ou d'oiseaux) ? Oui/Non

4. Géologie et sols

Y a-t-il des zones de possible instabilité géologique ou du sol (prédisposition à l'érosion, aux glissements de terrains, à l'affaissement) ? Oui/Non

5. Paysage/esthétique

Y a-t-il possibilité que les travaux affectent négativement l'aspect esthétique du paysage local ? Oui/Non

6. Site historique, archéologique ou d'héritage culturel.

Sur la base des sources disponibles, des consultations avec les autorités locales, des connaissances et/ou observations locales, le projet pourrait-il altérer des sites historiques, archéologiques ou d'héritage culture ou faudrait-il faire des fouilles tout près ? Oui/Non

7. Pollution par bruit pendant l'exécution et la mise en œuvre du projet

Le niveau de bruit pendant la mise en œuvre du projet concerné va-t-il dépasser les limites de bruit acceptables ? Oui/Non

8. Déchets solides ou liquides

L'activité concernée va-t-elle générer des déchets solides ou liquides ? Oui/Non

Si "Oui", le projet dispose-t-il d'un plan pour leur ramassage et leur évacuation ? Oui/Non

9. Consultation du public

Lors de la préparation et la mise en œuvre du projet, la consultation et la participation du public ont-elles été recherchées ? Oui/Non

10. Compensation et ou acquisition des terres/restriction d'accès aux ressources naturelles

L'acquisition de terres ou la perte, le déni ou la restriction d'accès au terrain ou aux autres ressources économiques seront-ils le fait de la construction ou réhabilitation de l'installation et/ou l'équipement proposé ? Oui/Non

11. Perte de terre : La construction ou la réhabilitation d'infrastructures proposée provoquera –t-elle la perte permanente ou temporaire de terre ? Oui/Non

12. Perte de bâtiment : La construction ou la réhabilitation d'infrastructures provoquera –t-elle la perte permanente ou temporaire de bâtiment ? Oui/Non

13. Pertes d'infrastructures domestiques : La construction ou la réhabilitation d'infrastructures provoquera –t-elle la perte permanente ou temporaire d'infrastructures domestiques ? Oui/Non

14. Perte de revenus : La construction ou la réhabilitation d'infrastructures provoquera –t-elle la perte permanente ou temporaire de revenus ? Oui/Non

15. Perte de récoltes ou d'arbres fruitiers : La construction ou la réhabilitation d'infrastructures provoquera –t-elle la perte permanente ou temporaire de récoltes ou d'arbres fruitiers ? Oui/Non

Partie C : Mesures d'atténuation

Pour toutes les réponses « Oui », les Experts en Sauvegarde Environnementale et Sociale du Projet, en consultation avec les institutions techniques locales, en particulier celles qui sont chargées de l'environnement, devraient décrire brièvement les mesures prises à cet effet.

Partie D : Classification du projet et travail environnemental

Projet de type : A B C

Travail environnemental nécessaire :

- Pas de travail environnemental

- Simples mesures de mitigation
- Étude d'Impact Environnemental

Partie E : travail social nécessaire

- o Pas de travail social à faire
- o PAR
- o PARAR

Annex 3: Terms of reference framework for ESIA studies

1. Introduction of the TdRs

The terms of reference must have an introduction in which the Consultant must indicate:

- The objective of the project and the location (District and Department) where it will take place;
- The legal justification for the environmental and social impact study and the name of the consulting firm/consultant in charge of the study;
- The context in which the public survey was carried out, in particular the dates, the populations (villages and NGOs), the authorities (Prefecture, Town Hall, etc.) that were consulted and their concerns.

2. Summary of the study

It must present, among other things, the summary of the project description, the impacts, and the environmental and social management plan.

3. Introduction of the Environmental and Social Impact Assessment (ESIA) study

It must present the elements of the general context of the study, which will be developed in the report. These include:

- The situation at national and departmental levels in the sector concerned by the project;
- Major projects underway in the project area;
- The contribution of the sector concerned to the national economy (job creation, GDP, payment of taxes...);
- The justification of the project;
- The main phases of the project;
- The Articulation of the ESIA report.

4. Objectives and expected results

Main objective. Ensure that the project is implemented in accordance with the regulations in force, in order to preserve the environment and human health.

Specific objectives.

- Describe the initial state of the project area;
- Describe the activities of the project;
- Identify and assess the impacts of the project;
- Consult local authorities and populations;
- Develop the environmental and social management plan (present the mitigation measures);
- Write and validate the study report

The expected results. They will have to be in harmony with the specific objectives, for example:

- The initial state of the project area has been described;
- Project activities have been described;
- The impacts have been identified and assessed;
- The authorities and the populations were consulted;
- The ESMP has been developed (mitigation measures have been presented)
- The impact study report has been developed and validated.

5. Methodological approach of the ESIA

The methodological approach should resolve around the following:

- Desk review, while also providing indication how and where information will be collected
- Collection of additional data in the field and specifying the methods, techniques and tools to use.
- Compilation, processing and analysis of data,
- Identification and evaluation of impacts;
- Consultation with stakeholders and indication of the authorities and populations to be consulted;
- Elaboration of an environmental and social management plan (presentation of mitigation measures);
- Writing of the report.

Other relevant information in this section will include the duration of the study, the timetable for carrying out the ESIA, and the composition of the consultancy team.

6. Institutional, regulatory and legal framework

The ToRs must clearly indicate that the study is carried out in accordance with decree 2009-415 of November 20, 2009 setting the scope, content and procedures of the study or environmental impact notice.

- The consultant must cite the sectoral policies concerned by the project:
 - Environmental policy and strategies (see National Environmental Management Plan);
 - National labor policy;
 - Development policy of the sector concerned (Agriculture, Forestry, Energy...);
 - Regional planning policy;
 - Land use plan.
- The consultant must quote the national legislative and regulatory texts and international conventions ratified by Congo related to the project;
- The consultant must also recall the relevant provisions of national texts and international conventions of interest;
- The consultant must include an institutional component which takes into account public institutions (ministries) concerned;
- The must provide a synthesis of normative documents which will be annexed to the ESIA report.

7. Project description

This will include the following:

- The location map;
- The mass infrastructure plan;
- Project alternatives;
- The justification for the choice of the technological variant retained;
- The justification for the choice of the site;
- The technological process and its technological scheme;
- The equipment, their dates, acquisition status (new or used) and operation, overhaul periods, as well as protective equipment individual;
- Presentation of the consulting firm (its experience, the accreditation references);
- Presentation of the company (its experience in the field of study or in another).

8. Presentation of the initial state of the project site

The report will present the biological and socio-economic data of the project area, namely:

- Biophysical elements: oceanography, climate, geomorphology, geology, fauna and marine flora;
- socio-economic elements: demography, sociology, education, health, transport, and all economic activities.

The description of the physical data must be supported by thematic maps (climate, vegetation, geology and topography). The ESIA report will indicate, if possible, any difficulties or gaps and uncertainties expected to be noted in the project area.

9. Identification and analysis of potential impacts

This analysis will be done according to the valued elements of the environment (soil, air, water, forest, fauna) and the socio-economic elements (employment, education, socio-economic activities) and according to different phases of the project.

This analysis will be done on the basis of a matrix which will be indicated. The impacts will be characterized according to the intensity (low, medium or major), the extent (regional, local and punctual) and duration (long, medium and short). Pollution rates will be indicated with reference to international standards.

10. Consultations with local stakeholders

This consultation will be done in accordance with the provisions of decree 2009-415 of November 20, 2009 setting the scope, content and procedures of the environmental impact study, including those of the public hearing (section 1 of chapter II).

Stakeholders who will be the subject of consultations should be indicated as follows:

- Local authorities and populations;
- Public structures (departmental directorates of the ministries concerned) and NGOs, opinion leaders.

The minutes of these consultations duly signed by all stakeholders will be annexed to the report.

11. Environmental and social management plan (mitigation measures)

It includes the following elements:

- Mitigation measures. These should be realistic and related to the impacts identified;
- Schedule for implementing mitigation measures;
- Summary table presenting the sources of impact, the mitigation measures, and residual impacts;
- Internal operating plans (emergency plan);
- Risk management plan;
- Environmental costs indicated taking into account the measures taken to mitigate the environmental effects of the project;
- Training and education plan for the populations;
- Waste management plan;
- Social plan;
- Societal plan;
- Monitoring bodies and procedures;
- Site closure and rehabilitation plan;
- Budget related to the implementation of the micro-project.

12. Conclusion and recommendations

The ESIA report will highlight a number of key points to the attention of the environment and business administration.

- The consultant could draw the attention of the administration and the promoter to the establishment of an HSE unit, training of managers and agents.
- Depending on the impacts identified and the mitigation measures proposed, the consultant may decide on the implementation or not of the micro-project.

Annex 4: Summary of consultations with stakeholders in the field

Presented here are the key points of meetings with the local people and some technicians and authorities in the project districts, as well as with the managers of two projects that supported planting of forest and fruit trees by groups in the villages on the periphery of the protected areas of Lesio Louna and Léfini.

May 22 in Madingou with a representative the NGO Initiatives for Development (*Initiatives pour le Développement*)

Background: surveys were conducted for FAO in 10 districts with the authorities, technical departments and representatives of local communities. CERPAC was covering the other 3 districts.

- Climate change is felt at local level. In one district, there were six months without rain two years ago;
- There are risks associated with land rights. Access to land is difficult for everyone who is not a land owner. There are discussions everywhere on the possibility of planting trees. There are options:
 - The purchase option is not valid;
 - Rental options;
 - State reserve option.
- The core of the problem is between land owner and producers;
- There are also risks associated with the sale of products. If the products are not marketed effectively, there is a risk of failure;
- There is a risk that neo-rural populations will compete with local populations to access the funding offered by the project'
- There are major variations in capacities in the project area between departments and districts;
- There is a belief that if a woman touches a fruit tree she will damage the quality of the fruit.

Louvakou District

On 23 May, capital of Louvakou

With the Prefect:

- The families of land owners are very lazy;
- There is great agricultural potential in Louvakou;
- The support of the administration can be relied upon to find strategies to ensure access to land for those who have none, including to plant trees.
- The PEDAC project does not explain why applications were rejected. Those who invested in the preparation of applications will be discouraged;

With the Terre Bénie group:

- 10 members who are from a land owner's family;
- They farm pigs, fish and bananas;
- They work collectively and those who do not work must pay a penalty;
- The pig farming is fairly impressive. The fish farming is not proficiently handled.

With the Congo Agropastoral Group (*Groupement Agropastoral du Congo*)

- They have farmed watermelon;
- They do not keep an accounts book;
- They have used insecticides and fungicides;

- The group purchased 1 ha at a symbolic price.

Around the visited site, the noise of a chainsaw could be heard from an unemployed person using a strip of forest to make sawn timber for sale. The ID personnel state that there is no forest in the project area that is not under pressure for the production of charcoal, timber or other products.

Hinda District May 24 in Hinda - Meeting with stakeholders

- The meeting was organized by CERPAC, ID partner;
- Wood is becoming rare. Deforestation is intense. After logging, it is left to farmers;
- The forest is transformed into savanna. There is a general problem with decreased soil fertility and yields;
- Stories are told of the negative impact of a potash mine, oil exploration, mining and large-scale eucalyptus plantations;
- SNR representatives gave presentations on climate change;
- The Mayor noted that there must also be education in the villages.

Meeting with Chairperson of a Cooperative in Mpounga on May 24

- He spent 25 years in Côte d'Ivoire, where he learned to cultivate cocoa. He brought cocoa seeds with him.
- He has 10 ha, including an orchard of butter fruit trees He will plant cocoa/bananas and cashews. He will trim the butter fruit trees to prevent the treetops becoming too dense and will possibly replace them when they are about 20 years old.
- It is risky to be combine cocoa with butter fruit trees. He is doing it because the butter fruit tree orchard was already on the ground he purchased;
- Cocoa could be combined with timber species if the time for logging timber could be coordinated with the time for replacing the cocoa.

Meeting of stakeholders organized by ID in Nkayi on May 25

- Difficulties:
 - Marketing problem;
 - A lot of land is not developed owing to the quality and lack of roads and land issues;
 - The lack of a ferry on the river is a major barrier to agricultural development;
 - Lack of fertilizers;
 - Large areas are occupied by SARCIS - the sugarcane company.

Miscellaneous:

- It is easy to have land to cultivate but it is never possible to plant trees on it;
- One land owner states that the ancestors said not to sell land to non-natives. One can rent but not sell;
- If somebody who is not an owner is allowed to plant trees, he may claim to be the owner;
- A contract may be negotiated with a land owner to plant an orchard with sharing of the harvest;
- The forest is cut anarchically in the dry season and charcoal is made;

Component 1 of the project was presented;

- There is general appreciation of the first component. It is believed that the advantages of land registration are more significant than the disadvantages. It must be known who is an owner and who is not. It is not possible to develop without putting the land system in order;

- Mobilization of land registration agents is costly;

Component 2 of the project was presented:

- It is very ambitious. Agroforestry is something new. Large-scale education is required;
- One participant suggested that emphyteutic leases be drawn up between land owners and producers. The landowner should first obtain his or her title;
- If a land owner reported on what has been discussed with his/her family, they will say, “He has already sold (the land)”;
- In-depth education of everyone in the district is required. Once everyone has been educated, solutions may be found;
- There are informal groups. It was suggested that they be encouraged to register;
- In order to qualify to receive project support, they are asked to:
 - Prove that they are a group;
 - Show that their initiative will contribute towards reducing climate change;
 - Prove that the land will be secured;
 - Prepare a business plan;
 - Have a bank account;
 - Create a budget for their initiative.

Component 3 was presented:

- There was microfinance here but it has fallen through;
- In their experience, the criteria for agricultural loans are totally unsuited to small-scale farming realities;

Invasive species May 25

Just to the east of Nkayi, populations of *Albizia albida* were seen, which had invaded areas in the savanna. After the meeting in Nkayi, discussions were held with two nursery gardeners belonging to groups who planted fruit and forest trees. They confirmed that *Albizia* is invasive and that the stumps are difficult to remove. Their seeds are carried by the wind.

Visits to two fields planted as part of an agroforestry production system trial near Madingou on May 25

- The fields were created by a group with a retired agricultural sector chief.;
- *Senna siamea* was planted together with peanuts and pigeon peas, followed by maize and then cassava. A second cassava crop is planned, followed by 5 to 10 ha of ginger. The two fields appear promising, but the production system is far from being proven – it is the second year.

Meeting with former Coordinator of PROFADELL, on May 28 in Brazzaville

- PROFADELL stands for the Project to Promote Rural Development on the Periphery of the Lésio Louna Gorilla Reserve (*Projet en Faveur de Développement Rural en Périphérie de la Réserve des Gorilles de Lésio Louna*). It is interesting for us because it has promoted fuelwood plantations of eucalyptus and Australian acacia trees.
- It started in 2014 and ended in 2019
- Support was given to economic interest groups and a platform of all concerned villages was created;

- At the end of the project, there were 214 ha, with at least 60% forest cover;
- During the first two years, cassava was also cultivated under the taungya system - and not as an agroforestry technique. Young forest plants were provided by the project.
- Family-based groups worked better than other groups;
- The main problem was fire. The approach worked well during the taungya period. The project funded mechanized ploughing and seedlings;
- The eucalyptus trees regenerated only under cover of the plantation. The acacias regenerated after a fire but not far from the mother tree;
- Maybe two plots were partially logged. None were re-cultivated after logging;
- These plantations have good potential to be used as demonstration plots for logging, marketing, equitable sharing of benefits, re-cultivation and self-financing.

Meeting of stakeholders in Kinkala on May 29

- Everybody introduced themselves. The project was presented;
- Representatives of groups, local authorities and technical departments;
- The problem of land access is acute;
- The president of a cooperative stated that they signed a five-year lease which was co-signed by the sub-prefect and the mayor; another cooperative signed a three-year contract;
- When yields are good, the land owner increases the rental price;
- A journalist stated that land owners do not view the new Land Law favorably. Registration costs are high.
- An agricultural officer stated that non-registered land will revert to the state;

Possibility of producers planting trees

- It was asked whether it would be possible for non-land owners to plant trees;
- One land owner stated that the world is changing. We must also change;
- A sector chief stated that solutions must be found. Emphyteutic leases would be created;
- One member of a group stated that contracts could be drawn up;
- Agricultural land is not sold;
- The sector chief stated that the drop in soil fertility is general;

Ngo district Meeting with Ngo producers on May 30

- Native people have no problem with land access;
- The right to plant trees can be negotiated. This was done for a plantation of 10 ha of eucalyptus (probably for a WCS fuelwood plantation project);
- It was suggested that emphyteutic leases be drawn up for fruit trees. It was stated that the WCS negotiated agreements and benefit-sharing for eucalyptus and acacia trees;
- The fuelwood plantations for the WCS project were not protected from fire after the taungya phase;
- There is a specific problem with financial accounting with groups;
- Many species of flora and fauna are disappearing with mechanization.

Ngo district: Meeting with Mpo producers on May 30

- They created a 3 ha plantation seven years ago with the support of a WCS project. There were several problems:
 - The plantation was protected against fire during the taungya (the phase of combining crops for the first 2 years), but firebreaks were not maintained once there were no more crops to protect;
 - They see no value in eucalyptus and acacia trees;
 - They planted a mixture of fruit trees, eucalyptus and acacia trees. They were only interested in fruit trees but all the fruit trees died during the first years. They say that eucalyptus and acacia trees “have no use”;
 - WCS made them remove them from the (Léfini) reserve;
 - A contract was concluded with the land owner with a rental tariff of 25,000 CFA/ha. Three ha were planted the first year. The land owner authorized no other plantations after the first year;
 - The project paid for plowing and crop spraying but nothing was set aside for fire protection costs thereafter;
 - The group that created the 3 ha existed before the WCS project was launched in 2004. However, the group was created to provide employment in the reserve and not to plant trees;
 - There was a plan to share any revenue from logging of the plantation, but there seemed to be no intention to log it;
 - Also see the results of interviews with indigenous peoples from Mpo in June. Indigenous people in the group claimed that they did not receive their share during harvesting and marketing of agricultural crops during the taungya phase of the plantation.
- There was an old man from the village who created a large orchard of fruit trees. He started 15 years ago. The space between the fruit trees was always used for various crops for the past 15 years. He managed to control and avoid invasion by quack-grass. Marketing of the fruit is no problem.

Ngo District: Meeting with Bantu producers from Onianva on May 30

- Land is not sold. Non-native people lease land. Native people have free access;
- There are no groups of agricultural producers here; the experiment was tried but there was poor governance;
- Fruit trees were planted with the agreement of land owners but no non-fruit trees;
- The meeting had to end because of rain.

A separate meeting was also held with the indigenous peoples of Onianva on May 31. The results are presented in the report on the Planning Framework for Indigenous Peoples.

Ngo District: Meeting with Elouna producers on May 31

- They cite the following difficulties:
 - They go 6 to 7 km to find water;
- They have no health center;
- It is difficult to find tractors for plowing and spraying;

- There are migrants from Rwanda and the DRC. It is said that there are at least 200 Rwandese making charcoal and growing tomatoes in the forest. The forest is devastated. They lodged a complaint against the Rwandese, but lost the lawsuit. They say that the Rwandese “bought” the lawsuit.
- There is a group growing cassava and yams.
- It is possible for non-land owners to plant trees. A non-land owner planted 20 butter fruit trees and 17 avocado trees in the forest.
- Land owners wish to register their land. They believe that registration could solve the problem with the Rwandese;
- A fire that starts in Ngo 2 could arrive here. There are no rules on the use of fire;
- They believe that agroforestry production systems such as Mampu could work here but fire protection poses a problem;
- Quack-grass (*Imperata cylindrica*) is a major problem (like nearly everywhere in the project area).

Ngo district: Meeting with Ngo producers on May 31

- The cited difficulties include:
 - Insufficient tractors;
 - Seed storage because of an abundance of mice;
- Non-land owners may plant fruit trees;
- Experiences with the WCS project:
 - They planted eucalyptus, acacia and avocado trees. The avocado trees died. Only eucalyptus and acacia trees remain;
 - They planted 3.5 ha. They were told that they could sell electricity poles and firewood. They do not believe that there is a market for electricity poles (I believe that the chemical treatment unit for electricity poles is found in Pointe-Noire - very far from Ngo). They have no experience in selling firewood;
 - They claim that they were not told when they would be able to log the plantation.
- They believe that the development of fire management systems is important;

Meeting with the Chairperson of the Land Owners’ Association – Ngo District

- The forests are empty. It is the responsibility of the Congolese government;
- The Léfini reserve is logged by the eco-guards. 2 km from Ngo, there are machines cutting down trees. Land owners are no longer monitoring Léfini. The Rwandese and Zairians have devastated the forest. At 6:00 p.m., the chainsaws start;
- There are fake land owners;

Interview with representative from the WCS on May 31

- The WCS had a project similar to PROFADELL for four years around the Léfini reserve. It ended in 2018. The project supported groups in establishing mixed plantations of forest and fruit trees. Agroforestry was not in mind when the project was designed. They never visited the Makala project.
- Land owners did not want to give up land for these plantations. Many field missions were conducted. Some villagers refused to take part. Ten-year contracts were drawn up with land owners who agreed to provide land.

It was not easy to get the people into groups. A group has little value. A group field does not suit everybody. Family plots were created within plantations.

- The major problem is inheritance. Trees must be able to be bequeathed to heirs;
- The project was a semi-catastrophe. There was no approval by the local people.

Other Meetings Held

Apart from the meetings held in the field, or with individuals with direct field experience as summarized above, meetings were also held in Brazzaville with the following entities:

1. The Social Safeguard Specialist from the PEDAC project
2. The FAO Resident Representative
3. The GCF Multi-Stakeholder Panel which is supervising preparation of the “Funding Proposal”
4. Skype call on Production Route
5. AFD (*Agence Française de Développement* [French Development Agency])
6. CIRAD
7. The REDD National Coordinator
8. Head of the SNR, Jean Claude MOUSSAVOU
9. Meeting with representatives of NGOs – organized by the gender expert
10. Ministry of Land Use Planning
11. World Bank
12. Development Bank of the Central African States –Vice-President and, Division Chief
13. World Food Programme
14. National Coordinator
15. A representative from CACO-REDD
16. Director for the Promotion of Standards of Living and Dignity and Welfare of Indigenous Peoples, Ministry of Justice
17. Indigenous Peoples Rights and Culture Project in the Republic of Congo
18. Surveys among the indigenous populations of 13 villages plus the small town of Ngo in the District of Ngo - the subject of the Planning Framework for Indigenous Peoples report.

Annex 5: Gender Action Plan

Strategic Guidelines

The objective of this action plan is crosscutting integration of gender in the GCF project. It provides guidelines on priority actions within the logical framework, as well as actions to be taken into account during the implementation and monitoring-evaluation of the project.

Logical framework of the project:

It will integrate objectives and indicators disaggregated by gender (the indicators will allow monitoring of progress over time, while following changes throughout the project). The gender dimension must be crosscutting through all axes of intervention and should not only incorporate a few actions in favor of women. The results, indicators and activities should therefore already be pre-defined in the logical framework. This would force the project implementation team to formulate actions in annual operational plans.

The project will ensure that the stipulated institutional provisions take the gender issue into account, enable implementation of strategies and measure the proposed gender integration.

At implementation level:

- The project will be based on the situational analysis and other qualitative and quantitative data (disaggregated by gender) when evaluating the gender impact of the project's interventions;
- The gender and development capacities of the project team's agents will be strengthened to ensure effective gender mainstreaming in the different components of the GCF project;
- Gender expertise must be included in the project team;
- All data will be systematically disaggregated in the different activity reports and/or other project documents in order to highlight the different situations of each of the targets (men/women/young people);
- During implementation, there must be a systematic target of incorporating the specific needs of men, women and young people in all interventions

In terms of monitoring/evaluation:

- Incorporation of the gender dimension in missions to evaluate performance and impact of the Green Climate Fund project, including gender objectives within the framework of the evaluation terms of reference (factors to be taken into account in all evaluations);
- Inclusion of gender expertise in the project team;
- Ensure that all data from the various evaluation reports is disaggregated by gender, specifying data in the "young people" category;
- Ensure the availability of reports on successes or failures of initiatives or the achievement of gender objectives.

Components	Results	Activities	Target	Indicators	Timeline	Budget	Responsible party
Component 1. <i>Land-use and resources planning and strengthening of land access and security rights</i>	Objective 1: Promote the land tenure rights of women within the customary and national framework						
	Result 1: The land tenure rights of women or women's groups are strengthened pursuant to Law 21/18	Establish a baseline of information on situation for women's existing tenure rights	At least 800 women will receive joint or sole land agreements through the project.	Number of women or women-led groups who obtained land agreements thanks to the Project in order to conduct agroforestry or sustainable forestry activities	<u>Y1 – Y8 (long-term support needs anticipated)</u>	\$123,200	FAO; MAEP; Ministry of Forest Economy; MPFIFD; UNDP; CSOs
	Result 2: Women's land tenure rights are promoted and strengthened within the customary framework	Support women or women's groups in acquiring land tenure rights within the context of the Project	At least 29,000 men and women (including youth and elderly) will be exposed to awareness campaigns on women's access to land and/or legal mechanisms.	Number of M/F/community leaders sensitized			
Result 3: Women farmers master national legal mechanisms related to land	Raise awareness of community leaders in respect to behavioral changes (mindsets) related to women's access to land within the customary framework	At least 25% of women and men in the project area are aware of legal mechanisms and procedures for land tenure security.	Number of awareness raising campaigns organized	<u>Y1-Y2</u>	FAO PRONAR Project team		
Component 2.	Objective 2: Strengthen the adoption of more sustainable agroforestry and forestry practices by women						

Establishment of agroforestry and forestry systems for climate change mitigation	Result 1: Effective and increased adoption of more resilient agroforestry and sustainable forestry practices by women	Encourage women (as well as youth and elderly) to use agroforestry and forestry systems that are more resilient to climate change Strengthen women's knowledge on agroforestry, forestry and climate change issues Support women to establish village tree nurseries Promote experience sharing and the dissemination of good practice, developed with the participation of women, youth, and elderly in the areas of agroforestry and climate change within the context of the Project	At least 35% of participants in agroforestry training activities will be women. At least 5 tree nurseries will be managed by village women. At least 3 stories featuring women's role in agroforestry and forestry systems will be shared.	Number of women participating in agroforestry training Number of tree nurseries managed by women Number of experiences shared	<u>Y1-Y8</u>	\$9,080,543	MAEP Ministry of Forest Economy MPFIFD FAO PRONAR SNR (<i>Service National de Reboisement</i> [National Reforestation Service])
	Result 2: Women's capacities are strengthened, and their knowledge of agroforestry techniques and climate change is increased	Raise awareness /train women, youth, and elderly on agroforestry techniques to mitigate climate change	At least 900 women will receive training on agroforestry techniques.	Number of women and men trained	<u>Y1-Y3</u>		FAO; MAEP; Ministry of Forest Economy; MPFIFD; PRONAR; SNR

	Result 3: Women's capacities are strengthened, and their knowledge of assisted natural regeneration and climate change is increased	Training of women trainers for technical supervision of producers	At least 5 women will be trained as trainers.	Number of female supervisors/technical trainers recruited	<u>Y1-Y2</u>		FAO; MAEP; Ministry of Forest Economy; MPFIFD; PRONAR; SNR
	Result 4: Women are aware of the benefits of adopting climate resistant agroforestry practices	Train and equip women for assisted natural regeneration	At least 500 women are practicing assisted natural regeneration	Number of women trained in assisted natural regeneration Number of women practicing assisted natural regeneration	<u>Y2-Y6</u>		FAO; MAEP; Ministry of Forest Economy; MPFIFD; PRONAR; SNR
		Raise awareness and inform women about the benefits of agroforestry.	At least 10,000 women will receive information on the benefits of agroforestry.	Number of awareness raising campaigns Number of women and men sensitized or trained	<u>Y1-Y8</u>		FAO PRONAR Project team
Component 3. Strengthening national agricultural financing structures, business capacities and value chains	Objective 3: Strengthen the technical and financial capacities of producers						
	Result 1: The financial management capacities of women's and mixed groups are increased Result 2: Women have increased access to agricultural credit to implement sustainable practices	Train women's and mixed groups (including youth and elderly) in accounting management for farming (keeping records of sales, procurement and other expenses related to farming) and the entrepreneurial culture	At least 5 training sessions organized on accounting management for women farmers. At least 100 people (with at least 35% women) trained on accounting management.	Number of on-site training sessions organized on accounting management for women farmers Number of women/men/young people trained	<u>Y1 – Y3</u>	\$ 273,850	MPFIFD ; FAO CERPAC (Center for Exchange and Resource for the Promotion of Community Actions) CSOs
		Strengthen the organizational and technical capacities of groups so that they can offer their	At least 10 groups or associations (and their members) will be trained on	Number of groups trained	<u>Y1-Y3 with ongoing support/coaching</u>		MPFIFD FAO CERPAC CSOs

		<p>members (Men/Women/Youth & elderly) sustainable services (group marketing, sale of inputs, etc.); and ensure these services are equally accessible to men and women</p> <p>Train women, youth and elderly in the procedures for obtaining credit and support them in developing solid business plans</p> <p>Train women, youth and elderly in financing methods other than banks (e.g. fundraising)</p>	<p>organizational capacity topics.</p> <p>At least 50 women will be part of the developed a business plan.</p> <p>At least 100 women and young people informed in financing methods (e.g. fundraising).</p>	<p>Number of women trained</p> <p>Number of women involved in a business plan development</p> <p>Number of women and young people informed in other financing methods</p>			
Project Management	Objective 4: Strengthen the technical and institutional capacities of the project team on the gender dimension						
	<p>Result 1: The technical and institutional capacities of the Project team on the gender dimension are increased</p> <p>Result 2: The project effectively communicates and engages with women, youth, and elderly</p>	<p>Strengthen the capacities of the Project team and stakeholders (government authorities) on the gender concept and the gender dimension in development projects (including facilitation skills to engage women, youth, and elderly)</p>	<p>All team members will complete gender training and have access to gender advisory support when needed.</p>	<p>Number of persons (M/W/Y) trained on the gender approach and development</p>	<p><u>Ongoing</u></p>	<p>\$332,885</p>	<p>MAEP ; MET [Ministry of Employment and Labor) ; Ministry of Forest Economy ; MPFIFD ; FAO ; PRONAR ; SNR</p>

		Gender expertise provided in the interim and final Project evaluation		Gender sensitive expert is recruited and is taking part in evaluation of the Project	<u>Y4 & Y8</u>		FAO MPFIFD MAEP
		Prepare and implement a Stakeholder Engagement strategy and Communication strategy, addressing also issues of GBV		Stakeholder Engagement Strategy; Communication Strategy Female focal point designated in each participating village	<u>Y1</u>		
		Increase access of women, youth and elderly to the project's grievance mechanism.	Information on the grievance mechanism is included in workshops and meetings attended by women, youth and elderly.	Workshop reports	<u>Y1-Y2</u>		
		Establish collaboration with organizations working on GBV		Meeting reports	<u>Y1-Y8</u>		
<u>TOTAL</u>						\$9,810,478	

1. Introduction

The presence of indigenous peoples (IP) in the Project area was discovered late in the development of the Project document during the field mission of the consultant in charge of Environmental and Social Risk Assessment from May 21 to June 6, 2019. In 2011, the Congolese government was the first in Africa to adopt a law on indigenous peoples, but the list of villages and other communities with IP has not yet been compiled in Congo. During a field trip in the district of Ngo in the Department of Plateaux between May 29 and June 1, around 10 villages with IP were discovered on the routes to the west, north and south of Ngo plus Ngo itself. The TOR for the Environmental and Social Expert specified tasks to be undertaken if IP were found in the Project area, and implementation of these started immediately.

The Environmental and Social Risk Consultant’s mission was extended in order for him to conduct an initial mission targeting the IP around Ngo, so as to start applying the Green Climate Fund’s Policy on Indigenous Peoples and the FAO Safeguards on IP. The mission took place between June 8 and 12. Thirteen villages were found with IP in the Project area around Ngo. It was surprising to note that all 13 villages are in the savanna dominating the countryside in the district of Ngo.

The Congolese IP were known as “Pygmies”, the people who traditionally lived from hunting and gathering in the dense forest of the Congo Basin. However, this name is considered derogatory in Congo, and Law 05 of 2011 on Indigenous Peoples prohibits the use of this term in Congo. The term “indigenous peoples” or “indigenous population” (IP) is used in this document.

The requirements of the GCF’s IP policy are very clear and detailed for IP who do not cohabit with others. An Indigenous Peoples Plan (IPP) must be developed and the policy provides all the details regarding the content of an IPP. However, nearly all IP around Ngo live in villages with the Bantu. The GCF policy states that, in such a case, a development plan may be developed to the benefit of both parties. Unfortunately, the GCF policy does not give guidelines or details on the approach or content of such a plan. Here is the exact text.

Analysis of the GCF IPP Policy Guidelines based on the type of document

Context	Analysis of its relevance
The GCF policy specifies, “If the activities or location have still not been identified, an Indigenous Peoples Framework Plan (IPPF) may be prepared.”	The activities have only been partially identified. Typical agroforestry production systems have been identified, but each beneficiary is free to modify these production systems or even change them completely to comply with the established criteria. The location of the activities has not been defined - when the Project is launched, there will be a wide-scale awareness raising campaign, but all beneficiaries will react as they wish - nothing is mandatory. Result: An Indigenous Peoples Framework Plan (IPPF) will be prepared, mainly based on the IPP items presented in the GCF policy.

<p>The IPPF will depend on the significance of the identified impacts.</p>	<p>The main negative impact identified is that the IP may not benefit, or may benefit very little, from the Project - their situation will remain unchanged with no mitigation measures. Other negative impacts are highly unlikely. In particular, opportunities have been identified to improve the situation of the IP and to reduce discrimination against them by the Bantu. The IPPF will therefore specifically focus on opportunities and measures to increase positive impacts and, to a lesser extent, measures to reduce negative impacts.</p>
<p>The IP live in proximity with other people, and the GCF policy must therefore be applied to benefit both groups.</p>	<p>The IP do indeed live in proximity with others. Twelve of the 13 groups live on the outskirts of Bantu villages, or at the border of the village, or a few hundred meters from the village. The IPPF being prepared must therefore aim to create benefits for the IP and for the Bantu from the village, on condition that the Bantu and the Bantu land owners agree that the same conditions be offered to the IP as to the Bantu.</p>
<p>When the IP are not the sole beneficiaries, the form and presentation of the IPPF may be different.</p>	<p>The elements of the IPP that are present in the GCF policy are always broadly followed.</p>
<p>In some cases, a broader and more integrated community development plan will be compiled, for the benefit of all stakeholders.</p>	<p>The GCF's IP Policy gives no guidelines on the contents of such a community development plan. It was also decided not to opt for a community development plan that includes water, schooling, road networks etc. and that would require very different expertise from that required for the other sub-components and Project activities with implementation being very costly. It is better to conduct a few activities well than to implement a large range of activities poorly.</p>

Mission Preparation, Objective and Methodology

To prepare the baseline survey mission in villages with IP,

Contacts were made in Brazzaville:

- Director for the Promotion of Living Standards, Dignity and Welfare of Indigenous Peoples, Ministry of Justice
- CACO REDD (Consultation Framework for Congolese Civil Society and Indigenous Peoples on REDD+ [*Cadre de concertation des organisations de la société civile et des populations autochtones sur la REDD+*])
- Member of the Executive Team of the Indigenous Peoples Rights and Cultures Project (*Projet Droits et Cultures des populations Autochtones*) in the Republic of Congo
-

Objectives of the mission among the IP in the district of Ngo:

1. Start to apply the Green Climate Fund IP Policy and the FAO and REDD+ Safeguards for IP.
2. Identify all settlements with resident IP populations and discern whether they qualify for Project coverage.
3. Collect reference information on:

- a. Their history
 - b. The number of IP households in each village
 - c. Their main activities
 - d. Their main difficulties in life
 - e. Their relationships with the Bantu
 - f. Their internal hierarchy
 - g. Their land access methods
 - h. Their experiences with agricultural producer groups.
4. Educate the IP on the outlines of the Project to reduce CO₂ emissions from forests in the Republic of Congo.
 5. Attempt to ascertain their interest in taking part in the Project, identify what they see as risks, advantages, disadvantages and opportunities associated with the Project.

Methodology:

Team composition:

- a. national FAO expert and head of mission;
- b. international environmental and social risk analysis expert;
- c. indigenous representative to the village of Nsah, one of the villages surveyed and used in the Indigenous Peoples Rights and Cultures Project.
- d. Director for the Promotion of Living Standards, Dignity and Welfare of Indigenous Peoples, Ministry of Justice
- e. The Agricultural Sector Chief of the district of Ngo.

The small town of Ngo was used as our base. The three languages used for the survey were French, Lingala and Itswa. The questions were asked questions in French and translated in Lingala and Itswa.

They left Brazzaville on the morning of June 8. Meetings were held with the Sector Chief in Ngo. A list was made of accessible villages with IP, making them suitable for inclusion in the Project. There are two villages with IP (Ayama and Ayo) on a poor track in the north-northwest of Okiéné and close to Gambona. Their access is deemed too difficult to be covered by the Project. They are not included in the list of surveyed villages. The decision was made to cover five villages every day for the first two days and the last two on the Gambona route on the 3rd day, then a neighborhood of Ngo and the Village of Ngo 2 on Saturday 12 when returning towards Brazzaville. Towards the end of the second and third days, all villages to be surveyed the following day had been informed.

Before this mission, a single direct interview was held with IP - from the village of Onianva (some conversations on risks were also held in Mpoh and Ngo 2, with some IP attending. The situation of IP in the district is not well-known. The consultant therefore decided to use semi-structured surveys with a list of basic questions for the general structure of the conversations. Each non-standard response was followed by additional clarification questions. The final version of the questionnaire is presented in Annex A.

In light of the difficult relationships between the IP and the Bantu, the team made the unanimous decision to try to conduct the surveys with no Bantus present, although the panel supervising the development of the Project informed us that it is difficult to do. The main strategy consisted of explaining this approach

to the village chief at least one day before the meeting with the IP (always a Bantu). The village chiefs, who are all Bantu, all accepted.

The IP reference situation

The 13 villages with IP are found on the tarred roads to the west, north and south of Ngo. They are all Bantu villages except for the village of Endion 5 km to the west of Ngo. The 13 villages are listed below by access route and by order of survey:

- Djambala route to the west of Ngo. The starting point was the village furthest from Ngo:
 - a. Allion, Lomé, Nsah, Abby, Mpoh, Banga, Endion;
- Gambouna route to the north of Ngo. The starting point was the village closest to Ngo.
 - a. Egypte, Nazarette, Onianva, Point d’Eau, Ombima;
- Brazzaville route, village of Ngo 1
- In addition, a conversation was held with three quarters of the IP in the small town of Ngo, a neighborhood of Mpala. Ngo is a small, growing town and it is not yet clear whether the population of Ngo will be eligible for Project funding.

There also two villages of indigenous peoples on a track to the north-northwest of Okiéné on the Djambala route. The track is not good, and the two villages are remote, fairly close to Gambona. Due to their remoteness on a track and their location on the margins of the Brazzaville supply zone, it was decided that that they are not suitable for participation in the Project and they were excluded.

Village	Number of IP Households
1. Allion	19
2. Lomé	15
3. Nsah	35
4. Abby	40
5. Mpoh	20
6. Banga	11
7. Endion	24
8. Egypte	n/a
9. Nazarette	10
10. Onlanva	37
11. Point d’Eau	26
12. Ombinma /Ombina	n/a
13. Ngo 1	n/a
TOTAL	237+

Risks, Opportunities and Measures to be taken

The Project has relatively few risks and many opportunities for indigenous peoples. The main risk is that the IP conditions will not improve. The Project presents opportunities to improve both the economic conditions of the IP and respect of their civil rights.

Risks:

1. Bantu landowners will not agree to give IP the right to plant trees outside villages. It would be difficult to negotiate this right even with Bantu non-land owners. It would be even more difficult to do so for the IP. The IP are fairly certain that they could not negotiate this right alone. They believe that with government support through the Project, they could negotiate this right.
2. The current forms of discrimination against IP by the Bantu remain unchanged or could even get worse.
3. IP groups will often have no members who know how to read and write and who are able to keep accounts and compile the reports required by the Project.
4. The IP will always find it difficult to market their products at the same price as the Bantu.

Opportunities

There is the opportunity to combine implementation of Law 05 with the Project's economic development related activities. There is an opportunity to ensure that IP have the same economic opportunities to benefit from the Project as the Bantu. There is the opportunity to educate and involve all authorities from prefecture level down to the level of each village on the implementation of IP rights, as stipulated in Law 05.

The timing is right for effective implementation of the law as the implementing legislation. Since July 2019 there are six new regulatory acts under Law 05, as follows:

- Decree No. 2019-202 of 12 July 2019 specifying special measures to facilitate access to health and social services for indigenous peoples and to protect their pharmacopoeia
- Decree No. 2019-204 of 12 July 2019 on special measures to improve access to education for indigenous children and literacy for adults
- Decree No. 2019-201 of 12 July 2019 establishing procedures for the consultation and participation of indigenous peoples in socio-economic development projects and programmes.
- Decree No. 2019-203 of 12 July 2019 establishing the composition and modus operandi of the Interministerial Committee for Monitoring and Evaluation of the Promotion and Protection of the Rights of Indigenous Peoples
- Decree No. 2019-200 of 12 July 2019 determining the modalities for the protection of cultural property, sacred sites and spiritual sites of indigenous peoples
- Decree No. 2019-199 of 12 July 2019 on special measures for the granting of civil status documents to indigenous peoples

All of these acts are in harmony with the goals of the project to empower indigenous peoples. The project can play an important role by informing indigenous peoples on the new legal recognition of their rights. Awareness raising activities are planned.

There is also the advantage that the Director for the Promotion of Living Standards, Dignity and Welfare from the Ministry of Justice is taking part in IP surveys in villages in the district of Ngo, and he is motivated to raise awareness of and implement Law 05 in partnership with the Project. Moreover, there is a representative from the Ministry of Justice dealing with indigenous peoples in the capital of the Department of Plateaux in Djambala who could play a major role in implementing Law 05.

Measures adopted to counter the risks

1. The Project is adopting the policy that Bantu land owners should offer the same conditions to non-land owner IP that they are offering to non-land owner Bantu, or the Project will not fund initiatives in the village. In particular, if land owners offer medium to long-term contracts with the right to plant trees to the Bantu, they must offer the same conditions to the IP. This risk for the IP is essentially the same risk for women and young people. See Risk 2 in the ESMS.
2. The Project is supporting and funding secondary schooling for up to half a dozen IP children per village in order to develop the human resources and expertise required for effective management of agroforestry and forestry producer groups.

Partnership with Justice to support implementation of Law 05: The Ministry of Justice, through its Director for the Promotion of Living Standards, Dignity and Welfare was closely involved in development of the IPPF since the discovery of 13 villages with IP in the district of Ngo. He was involved in two missions among the IP in June and July 2019. During the second mission, he conducted the initial awareness raising of the IP of the 13 villages on Law 05 on indigenous peoples

With the launch of the Project, routine awareness raising on Law 05 and its implementing legislation will be at three levels. This awareness raising will be directed by the Director for the Promotion of Living Standards, Dignity and Welfare from the Ministry of Justice and will be in collaboration with the Project. It may integrate other stakeholders, such as RENAPAC (*Réseau national pour la promotion des peuples autochtones du Congo* [National Network for the Promotion of Indigenous Peoples in the Congo]), the IP Rights and Cultures Project and COCA REDD. This awareness raising will be supported by the definition of the roles and responsibilities of the various stakeholders in implementation.

- a. It starts in the Plateaux Department at their capital in Djambala. The Ministry of Justice will mobilize three people, including the representative from their IP Department in Djambala. The meeting will bring together Heads of district from the 11 (?) districts of the department and will be chaired by the Head of the department.
- b. The meeting at Djambala will be followed by education of the authorities in the district of Ngo, including all district, village and IP chiefs from the 13 villages with IP, district administrators, police officers and technical services representatives. The workshop will be chaired by the Head of the district. Measures to ensure that the IP can have tables in the market at Ngo will be taken.
- c. Finally, the person in charge of IP from the Ministry of Justice for Djambala will conduct awareness raising sessions in each village in the district of Ngo, particularly villages with IP. To

this end, Law 05 on Indigenous Peoples and its implementing legislation will be translated into Lingala and Itswa and presentation of these translations will be organized for the Bantu and IP in each village. A paper copy of the laws and implementing legislation will be given to the IP who know how to read. Each village will be encouraged to incorporate IP members in the village committee.

These educational workshops will also be used as a basis to develop a complaints management system - see the section Mechanism for complaints and complaints management below.

Creation of an IP network: There is an opportunity to support the creation of an IP network to facilitate communication, better inform them of their rights, challenges and progress in respect of the rights, to counter discrimination, to exchange information on the strengths and weaknesses of their participation in the Project, to build their capacities and to consolidate the complaints management system from the bottom up. One of the factors facilitating discrimination against the IP is the lack of contact and communication between the different IP groups that are more or less isolated in their villages. The Project will support the IP in creating the network and organizing meetings. During the first two years, quarterly meetings will be held and from the third year, semi-annual meetings.

Emphasis on NRM: In light of the importance of natural resources for the IP, particularly in terms of hunting and gathering in the forest, the Project will specifically emphasize the development of participatory management systems for natural resources on this land (see the next chapter on Participatory Natural Resource Management).

Gender analysis and action plan

The gender analysis will be conducted with Project startup in month 6 by a consultant specializing in gender analysis. The analysis will cover the respective roles of men and women, identify non-equitable aspects, identify constraints and opportunities for women in the Project and develop an action plan.

Benefit-sharing plan

Baseline surveys documented two cases of non-equitable sharing of the benefits of production systems similar to those to be promoted by the Project. They relate to agricultural harvests within groups created to develop fuelwood plantations by the former WCS project in villages around the Léfini hunting reserve. The plantations were created by mixed Bantu and IP groups. The taungya technique was used for the first two years to create these plantations. When the combined agricultural crops were harvested, the Bantu took everything, and the IP had nothing. These experiences were documented in the villages of Mpoh and Ngo 2. This is exactly the type of non-equitable sharing that needs to be avoided at all costs.

The plantations in Mpoh and Ngo 2 still exist and there are certainly others. When the Project is launched, there may be negotiations with the groups who created these plantations to use them as a demonstration site for fuelwood production and marketing and the associated temporary replanting to ensure regeneration of these plantations. However, if the IP are to invest in production systems, it is essential that they receive their share when these plantations are logged. Such demonstrations could be highly motivating for anyone interested in Component 2.

The principles adopted to promote equitable sharing are the following:

- Always teach the IP that they do not need to create mixed groups with the Bantu. They can have their own groups. The same applies to women and young people;

- For each activity, the equitability analysis must take into account both costs and benefits. For example, the cost of protecting forestry and agroforestry plantations against savanna fires is often forgotten;
- For supported initiatives, it must be ensured that the IP have the same opportunities as the Bantu (particularly the same contractual conditions with land owners, but also that they have access to land of the same potential);
- For IP initiatives, ensure that women and young people are educated about the possibility of developing their own initiatives;
- Ensure that stakeholders are taught that they are not obligated to do collective fieldwork. There is always the possibility for each member of the group to have his or her own plot to cultivate. Activities such as plowing, purchase of inputs, training and marketing of products could be through the group, but agroforestry plots could be managed by the individual members of a group;
- For each investment, the necessary funds are set aside for future operating costs before the profits are shared;
- The issue of equitable sharing within IP groups must be defined by the IP themselves and not imposed by the Project. For each IP initiative, ensure that there is a cost and benefit sharing plan in their funding request and that this plan has been developed consensually.

Land rights arrangements

The issue of land rights is central to this Project. The Project has retained three options to correct the problem of land access and security, notably: (1) giving beneficiaries access to land already secured by PRONAR or land available on former State farms. To date, almost 6,000 ha have been secured by PRONAR and blocks of land are currently being secured in some departments covered by the Project; (2) supporting families interested in registering their land and transferring of a part of it for agroforestry projects by non-land owners; and (3) the system of shared remuneration (contracts), which consists of the land owner interested in the Project agreeing to make his land available to beneficiaries for a long period to be defined jointly in return for shared remuneration.

Option (1) would be limited to villages near blocks of land secured by PRONAR or by the State. Options (2) and (3) have general potential in all villages for non-land owners, who include Bantu and IP, men, women and young people. For the IP, the challenge is to ensure that they have the same opportunities as the Bantu. The Project will not fund initiatives for the Bantu if Bantu land owners do not offer the same conditions to the IP.

Complaints and complaints management mechanism

There is a grievance mechanism for the Project in general, which is elaborated in the ESMF. The grievance mechanism shall have distinct provisions related to indigenous peoples to ensure respect of IP civil rights as stipulated in Law 05 and its implementing legislation. The mechanism will provide the option of submitting complaints anonymously. Indigenous peoples will also have the option of submitting grievances through the GCF independent grievance mechanism or contacting the GCF indigenous peoples focal point. There will be two subsystems: a) A top-down complaints management subsystem, and b) a bottom-up complaints management subsystem.

The first subsystem will be a proactive system managed by the Ministry of Justice through its officer in the departmental capital of Djambala. Their departmental manager will be the main organizer of awareness raising workshops for the authorities at department and district levels. During awareness raising workshops, the departmental manager will give contact details, specifically his telephone number, to all stakeholders, in particular the IP in each village. He will also list contact details for all authorities, village chiefs, IP chiefs or other IP with mobile numbers. In terms of complaints management, the difficulties in relation with the Bantu identified in this report will be the starting point. The departmental manager will conduct direct annual visits to the authorities of the district of Ngo and visits to monitor the civil rights of the IP in each of the 13 villages. During each visit to IP in the village, the list of identified complaints will be updated. The IP in each village will be encouraged to directly communicate any new complaints that may arise. For substantial complaints, the departmental manager will make contact with the local authorities by telephone to ensure investigation and appropriate follow-up for each complaint. The departmental manager will ensure that there is follow-up until the complaint is resolved or officially suspended.

The IP network will play a role. The Project will support the creation of an IP network in the district of Ngo with two representatives (one man and one woman) per village. The network will hold quarterly meetings during the first two years and six monthly meetings as of the 3rd year. The network's functions will include keeping a register of complaints. It will refer the matter to the departmental manager and district authorities when the IP at village level are reticent to do so and will serve as an intermediary between the village and the departmental manager and district authorities. The network will ensure follow-up of registered complaints from the bottom up.

IPPF indicators

Three key indicators are suggested to measure the benefits received by indigenous peoples through the project:

- Number of IP households receiving greater tenure security through either long term recognized use/management rights or title. Target: 50% of the indigenous people's households will have greater tenure security.
- Percentage of IP trained on climate-resilient agroforestry and forestry techniques. Target: Number of IP training participants to reflect at least the percentage in the village population.

Future Engagement Plan

The IPPF will be updated and finalized towards the end of year one of the Project. Some things need to be done before its finalization so that the IPPF becomes a more useful tool. It should be recalled that an IPPF was decided upon instead of an Indigenous Peoples Plan, because the activities that will affect the IP are partially known and the intervention sites are still unknown. These decisions will be more advanced after the intense programme to raise awareness of rural populations on the Project outlines and available production systems, particularly in the 13 Project districts. This programme will affect the Bantu and the IP, which will greatly facilitate involvement of these two parties in updating the IPPF. The Bantu and IP will have more specific ideas on the activities and production systems that interest them. The two parties will have clearer ideas on the possibilities of collaboration, particularly willingness by land owners to offer the IP the same land access conditions as those given to Bantu non-land owners.

Together with awareness raising and prior to finalization of the IPPF, any other potential villages with IP need to be identified, particularly around Louvakou in the district of Niari. If other IP groups are found, the mission needs to be amended to include them. It will also be beneficial if awareness raising and planning workshops on implementation of the IP law are conducted in Djambala, district of Ngo and villages with IP before the IPPF is finalized. This will give a better idea of the willingness of the Bantu to change their behavior towards the IP, and the IPPF measures can be consequently amended.

The partnership with the Ministry of Justice to collect and manage complaints may be changed. Awareness raising and planning workshops must be held before the IPPF finalization mission. The mission will also cover: a) the creation of the IP network and attendance at its first founding meeting at Ngo, and; finalization of the free, prior and informed consent process. The gender analysis and development of its action plan will be conducted jointly with the update and finalization of the IPPF.

Basic questionnaire structure for conversations with indigenous peoples

Questionnaire:

1. History of the IP group:
 - You, the IP of the Congo basin, are well-known worldwide. However, you are known as the people who live in the dense forest of the Congo basin.
 - i. Where do you come from?
 - ii. When did you leave the forest? Who was the president at that time?
 - iii. Why did you leave the forest?
 - iv. Why did you come here?
2. How many indigenous households are there in the village? A household can consist of:
 - Couples plus children;
 - Women plus children;
 - Men plus children;
3. What are your main activities in life? How do you earn a living?
 - Do you grow crops? In forest areas? In savanna areas?
 - Sometimes, we ask which crops in forest areas and which crops in savanna areas?
 - Do you gather food? In forest areas? In savanna areas?
 - Sometimes, we ask what main food products are gathered and the sustainability of their harvest.
 - Do you hunt? In forest areas? In savanna areas?
 - Do you do manual work/weeding for the Bantu?
 - Do you make charcoal?
4. What are your main difficulties in life and what are your relations with the Bantu?

(Note : At the beginning, these two questions were asked separately but, often, their main difficulties concern their relations with the Bantu. The two questions were therefore generally handled together.

 - How are your relations with the Bantu?
 - Are you paid the same amount as the Bantu for weeding?
 - i. How much are you paid per ha?
 - ii. How much are the Bantu paid per ha?
 - Can you sell all your products to the Bantu?
 - i. At the right prices?
 - ii. Do they buy food that you have prepared, such as chiquons?
 - Can you marry a Bantu?
 - i. IP man with a Bantu woman?
 - ii. IP woman with a Bantu man?
 - Do you have Bantu masters?
 - Which of you has an identity card?
 - i. What is stopping you from having civil documents?

- Do your children go to school?
 - i. What value do you place on schooling?
 - ii. Have you encountered any obstacles to schooling?
 - iii. Do your children sit on benches with the Bantu children?
 - iv. How many among the adults know how to read and write?
 - Do you have access to medical care?
 - i. Do you have the same access as the Bantu?
 - Do you have access to water?
 - Do you know Law 05 of 2011 on Indigenous Peoples?
5. How are your populations structured?
- Do you have a chief?
 - How did the chief become chief?
 - Does your chief have a chief? Who is it?
 - Does your chief sometimes meet with other IP chiefs?
 - Is there a village executive or a village committee?
 - How many IP are members of the executive/committee?
6. What do you do to get land to cultivate?
- Do you need to negotiate with Bantu land owners?
 - Do you need to pay rental costs? Do you need to share the harvest?
 - What are the conditions for access?
 - Do you have the right to plant trees in your village or neighborhood?
 - Do you have the right to plant trees in your fields outside the village?
 - Can you negotiate the right to plant trees outside villages?
 - Have you created agricultural producer groups?
 - If yes, what were their activities?
 - If yes, what were the advantages and disadvantages?
7. Perceptions and interest in the project
- Can you negotiate medium to long-term agreements/contracts with land owners who will allow you to plant trees and benefit from the products of these trees?
 - Do you believe that you can negotiate such contracts with the support of the project - in that it is a government project and that the FAO is a partner?
 - For reasons of convenience, the project would prefer to support groups. The members of a group can still have their own plots.
 - i. Are you able to form groups to take part in the project?
 - ii. What do you see as the advantages and disadvantages of working in groups?
 - Is there a risk that participation in the project could worsen relations between the IP and the Bantu?
 - What do you see as other risks of participation in the project?
 - Who wants to take part in the project?
 - Who does not want to part?

