

# INTEGRATED SAFEGUARDS DATA SHEET CONCEPT STAGE

**Report No.:** ISDSC1141

**Date ISDS Prepared/Updated:** 10-Feb-2015

**Date ISDS Approved/Disclosed:** 18-Feb-2015

## I. BASIC INFORMATION

### A. Basic Project Data

<b>Country:</b>	Colombia	<b>Project ID:</b>	P120899
<b>Project Name:</b>	Colombia FCPF REDD Readiness (P120899)		
<b>Task Team Leader(s):</b>	Carole Megevand		
<b>Estimated Board Date:</b>	15-May-2015		
<b>Managing Unit:</b>	GENDR		
<b>Sector(s):</b>	Forestry (100%)		
<b>Theme(s):</b>	Climate change (100%)		
<b>Financing (In USD Million)</b>			
Total Project Cost:	0.20	Total Bank Financing:	0.00
Financing Gap:	0.00		
<b>Financing Source</b>		<b>Amount</b>	
Borrower		0.00	
Readiness Fund of the Forest Carbon Partnership Facility		0.20	
Total		0.20	
<b>Environmental Category:</b>			
<b>Is this a Repeater project?</b>	No		

### B. Project Objectives

The Project Development Objective is to support a participatory and inclusive process with key stakeholders for the preparation of Colombia's REDD+ strategy.

### C. Project Description

The Readiness Preparation Proposal (R-PP) prepared by the Government of Colombia identifies the necessary activities to strengthen Colombia's technical and institutional capacities to participate in a future REDD+ mechanism. The overall financial envelop needed for achieving REDD+ Readiness in

Colombia has been estimated to US\$ 29.3 million (as per the final version of the R-PP dated September 2013). Since 2011, Colombia has already implemented various activities under the REDD + preparation process with the support from different sources, which include multilateral and bilateral financing arrangements, in addition to the Colombian government's own contribution. The proposed FCPF grant would focus on a subset of component and activities of the R-PP: this subset of activities was selected jointly with MADS, taking into account the following criteria: (i) comparative advantage of the World Bank, and (ii) complementarity with activities financed by other donors and government . The FCPF operation would only support three out of the six components presented in the R-PP (for more information on the general budget of the REDD+ Readiness preparation activities, as presented in the R-PP, please refer to the FCPF website). It is important to highlight that the FCPF support is limited to analytical studies, capacity building, and consultation processes at the national and sub-national levels and would not include any physical investment or the implementation of any REDD+ program on the ground.

The FCPF grant will finance in specific the following components:

Comp. 1: REDD+ Readiness Organization and Consultation (FCPF amount: \$2,850,000)  
 Sub-Comp. 1.a.: National Readiness Management arrangements (FCPF amount: \$1,750,000)  
 The FCPF grant would support the efforts initiated by MADS to strengthen a team of multi-disciplinary experts to coordinate and support the design of the REDD+ strategy. It would also ensure a full participation of government's representatives to the international negotiations on REDD +. Finally, this sub-component would also support the design of a Feedback and Grievance Redress Mechanism (FGRM) for REDD+ and strengthen processes in handling feedback requests and complaints paying particular attention to facilitating access to this mechanism by communities

Sub-Comp. 1.b.: Stakeholder Consultation and participation (FCPF amount: \$1,100,000)  
 The FCPF grant would support the information sharing and the consultation process at the regional and national level with key stakeholder to inform the preparation process of the national REDD+ Strategy. To this end, the FCPF grant would identify and strengthen existing participatory platforms, and would support regional mechanisms to foster a continuous dialogue on REDD+ with Indigenous Peoples, Afro-Colombian communities and campesinos. Additionally, technical consultations would be carried out with relevant stakeholders such as government ministries and regional governments, the private sector and unions, as well as with civil society organizations.

A participation and consultation plan would be prepared by the social expert to be recruited under Component 1a, based on the national legal framework, the country's commitment to follow the requirements of ILO Convention 169 and the principles of the UN Declaration of the Rights of Indigenous Peoples (UNDRIP). A differentiated consultation process that is culturally adequate would be followed in the case of Indigenous Peoples and Afro-Colombian communities as per World Bank Operational Policy on Indigenous Peoples (OP 4.10) in seeking broad community support for the National REDD+ Strategy. As part of the consultation methodology, special attention would be paid to women in order to understand their specific issues and concerns and to promote gender parity. A comprehensive communications strategy would support the participation and consultation processes at the regional and national levels.

Comp. 2: Assessment of social and environmental impact (FCPF amount: \$630,000)  
 The FCPF grant would support the continuation of the SESA process in Colombia, through the preparation and implementation of the SESA Workplan, building on the outcomes of the dialogue already conducted in the eco-regions of Pacific and Amazonia. It would include the conduct of analytical work based on the key issues identified by key stakeholders during the participatory

process to contribute to the design of the REDD+ strategy.

Comp. 3: Program monitoring and evaluation framework (FCPF amount: \$120,000)

The FCPF grant would cover the third party independent audits, as required by World Bank procedures.

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

The FCPF Readiness Preparation Grant does not entail physical investments or pilot projects on the ground. Instead, the grant will finance a number of analytical and diagnostic studies as well as a series of consultation meetings and workshops with relevant stakeholders. It is important to highlight that the FCPF support will not include any physical investment or the implementation of any REDD+ program on the ground. . While Readiness Preparation is conceived as mostly strategic planning at this stage, key policy and regulatory precedents are being set at the readiness phase that will have downstream impact at the national level once the national REDD+ strategy is ready to be implemented. The activities of the Grant itself will not have specific impacts per se but may lead to recommendations for actions in the future which could bring such risks which will be assessed during the Grant period. The analytical and diagnostic studies as well as the consultation meetings and workshops that will be financed under this Grant will be used to address any potential risks and/or negative impacts associated with the actions being considered for the National REDD+ Strategy.

#### **E. Borrowers Institutional Capacity for Safeguard Policies**

Since the mid-1990s, the Government of Colombia and the World Bank have been closely collaborating on a variety of environmental issues, ranging from urban environmental management to biodiversity conservation in forest ecosystems. The MADS has institutional capacity and proven track record in implementing the Bank's environmental and social safeguard policies. After the separation into the two new ministries, MADS retained the staff responsible for execution of Bank-funded projects: this staff has the adequate experience with Bank procedures and policies, including environmental and social safeguards.

Specific to REDD, the MADS has a small, technically strong team at national level with experience and engagement with a broad range of stakeholders, including Indigenous Peoples, campesino communities, Afro-Colombian peoples, small producers, and others. This MADS' small team, including other key stakeholders, has been recently trained by the Bank in SESA processes including preparation of the Environmental and Social Management Framework (ESMF).

Colombia has adopted a subnational approach to REDD+ during the preparation phase under which it proposes to advance the participatory development of Regional Plans based on the specificities of each of its five eco-regions: (i) Andean; (ii) Amazon; (iii) Pacific; (iv) Orinoquía; and (v) Caribbean. During the readiness phase, strengthening the human resources and expertise, particularly on social and environmental dimensions of REDD+, will be a key priority at both

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

Juan Martinez (GSURR)

Raul Tolmos (GENDR)

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

<b>Safeguard Policies</b>	<b>Triggered?</b>	<b>Explanation (Optional)</b>
Environmental Assessment OP/BP 4.01	Yes	This policy is triggered given that some of the decisions and recommendations forthcoming from

		<p>the REDD+ Readiness phase may have implications for forest management and associated environmental services during the implementation phase of the REDD+ strategy (phase during which physical investments may be supported).</p> <p>The Strategic Environmental and Social Assessment (SESA) being carried out under the project will serve to identify, avoid, and mitigate the potential negative environmental and social impacts associated with future activities to be supported by the REDD+ strategy by providing guidance and key elements for the preparation of an Environmental and Social Management Framework (ESMF). The SESA will also influence the national REDD+ strategy, by ensuring that social and environmental risks are factored in the preparation of the strategy. The SESA will be built upon national legal and institutional frameworks in place for the forestry sector, participation and, if applicable, strategic environmental assessment. Likewise, the ESMF will be built upon exiting country procedures and requirements where such procedures are consistent with Bank policy requirements. The results of public consultation on the draft of both the SESA and the ESMF instruments will be taken into account during the process</p>
Natural Habitats OP/BP 4.04	Yes	<p>The application of this policy seeks to ensure that all options proposed in the National REDD+ Strategy take into account the conservation of biodiversity, as well as the numerous environmental services and products that natural habitats provide to the Colombian society. Overall, REDD+ activities are expected to have significant positive impacts on natural habitats, as the country puts in place an effective strategy to reduce loss of natural forests.</p> <p>The SESA will address issues related to natural habitats and potential impacts of the National REDD + Strategy, which will later be included in the ESMF. The team will ensure that the associated ESMF also includes appropriate screening criteria to ensure that impacts on natural and critical natural habitats are properly evaluated. Furthermore, the ESMF will make it clear that no future investments to be undertaken in the name of the REDD+ strategy will involve the significant conversion of forests as natural habitats.</p>
Forests OP/BP 4.36	Yes	Overall, REDD+ activities are expected to have

		<p>significant positive impacts on forests, in that the main goal of the program is to reduce deforestation and forest degradation, promote conservation, sustainable management of forests and enhancement of forest carbon stocks, while contributing to the well-being of forest-dependent communities.</p> <p>Potential impacts of the National REDD+ Strategy on natural forests will be assessed through the SESA and included in the ESMF. The SESA and associated ESMF will reflect the requirements of the Bank's Operational Policy regarding forest management, in particular as these relate to plantations and the use of critical forest areas, as relevant. Screening mechanisms will be incorporated into the associated ESMF to ensure that the environmental and social risks of future investments undertaken in the name of the REDD+ strategy, which affect the management of forests or the welfare of forest dependent communities, are properly assessed and to ensure that any impacts on forests be mitigated through measures defined as part of the broader approach on natural habitats are included as part of recommended management or mitigation measures.</p>
Pest Management OP 4.09	TBD	<p>This policy could be triggered depending on the final scope of the National REDD+ Strategy.</p> <p>Agricultural intensification and reforestation activities, for instance, could trigger this policy, depending on the methods employed by concrete activities on the ground to manage pests. The SESA will address critical issues related to pest management if necessary, and if so, these will also be included in the key elements for the ESMF. The associated ESMF will include specific screening measures to ensure that investments undertaken in the name of the REDD+ strategy incorporate appropriate screening measures to ensure investments that might result in the procurement or significant use of pesticides are fully evaluated and if potential impacts are identified, the ESMF will include mitigation measures consistent with the policy to avoid significant impacts.</p>
Physical Cultural Resources OP/BP 4.11	TBD	<p>This policy could be triggered if REDD+ activities promote actions in areas containing sites deemed physical cultural resources (PCR). Though it is not anticipated that the project will have negative impacts on any such sites, the existence of any such sites and the corresponding need to trigger this policy</p>

		will be determined once the National REDD+ Strategy is completed. If potential impacts are identified, the associated ESMF will include specific screening provisions for evaluating potential impacts on physical cultural resources and should provide specific guidance on these procedures.
Indigenous Peoples OP/BP 4.10	Yes	The REDD+ readiness will involve and potentially affect Indigenous Peoples. The SESA (Strategic Environmental and Social Assessment) process was initiated in the regions of Pacific and Amazon with the participation of Indigenous Peoples and Afro-Colombian communities in identifying the drivers of deforestation, proposing recommendations for the strategic options and identifying key issues for the design of the REDD+ strategy. The outcome of the participatory SESA process will be an ESMF with a stand-alone Indigenous Peoples Planning Framework (IPPF): the IPPF will include a specific framework for Afro-Colombian communities with collective held lands. Under OP 4.10, free, prior and informed consultation leading to broad community support for the national REDD+ strategy from the affected Indigenous Peoples and Afro-Colombian communities with collective rights will be ascertained at the national level. Representation of indigenous peoples and afro-descendant communities at the national level will be in line with Colombia's legal framework for indigenous peoples (Law 21) and afro-Colombian communities (Law 70) establishing the various formal platforms for consultation between the Government and Indigenous Peoples and Afro-Colombian communities and in close coordination with the Ministry of Interior. Colombia has also committed to comply with its obligations under ILO Convention 169 on Indigenous and Tribal Peoples (please refer to Assessment Note for further details on this point). The main product of the consultation and SESA processes will be an ESMF with a stand-alone Social Assessment as required under the OP 4.10.
Involuntary Resettlement OP/ BP 4.12	Yes	This policy is triggered given the potential of land acquisition that could lead to physical or economic displacement and restrictions of access to natural resources as part of the implementation of the REDD + strategy. During the SESA process, specific efforts will be made to review the potential risks and benefits of the REDD+ strategy in relation to the use

		of natural resources in protected areas. A Resettlement Policy Framework (RPF), as part of the ESMF, will be prepared in the event that resettlement occurs due to the implementation of the REDD+ strategy. If necessary, a Process Framework (PF) will also be prepared to address potential restrictions of access to natural resources as part of the design phase of the REDD+ Strategy. Screening criteria will be included as part of the ESMF to screen and manage potential voluntary land donations or reassignment of use of land as part of the implementation phase of the REDD+ strategy.
Safety of Dams OP/BP 4.37	No	This safeguard policy was not triggered because the project will not support the construction or rehabilitation of dams nor will it support other investments which rely on existing dams.
Projects on International Waterways OP/BP 7.50	No	This safeguard policy was not triggered because the project will not support activities which affect international waterways.
Projects in Disputed Areas OP/BP 7.60	No	This safeguard policy was not triggered because the project will not support activities in disputed areas.

### III. SAFEGUARD PREPARATION PLAN

#### A. Tentative target date for preparing the PAD Stage ISDS: 25-Oct-2017

#### B. Time frame for launching and completing the safeguard-related studies that may be needed. The specific studies and their timing<sup>1</sup> should be specified in the PAD-stage ISDS:

Dialogue and participation of key stakeholders started since the formulation phase of the R-PP. The participatory process initiated will continue and be strengthened throughout the Readiness phase accompanying the preparation of the national REDD+ strategy leading to formal consultations on the national REDD+ strategy taking into account the feedback and inputs received throughout the readiness phase.

One of the main products of the SESA process will be an Environmental and Social Management Framework (ESMF) that will be prepared as an operational tool to manage risks and impacts and enhance the potential benefits of any future REDD+ investments. As the ESMF's objective is to provide risk management and mitigation measures on potential impacts from actions derived of the national REDD+ strategy, it is expected that the preparation of the ESMF will be aligned as the national REDD+ strategy takes shape. The ESMF is intended to be a live document that may evolve and be updated over time when new REDD + strategy options and projects or activities (including investments), or policies/regulations are identified during implementation of REDD+. Information and participation of key stakeholders will facilitate the participatory SESA process as it will be financing the development and implementation of a communication, participation and consultation strategies that will include guidelines and activities for the engagement with indigenous peoples, afro-colombian communities and other key stakeholders. In addition, funds have been specifically allocated for the development of the national Feedback and Grievance Redress Mechanism (FGRM). It is expected that an Environmental and Social Management

<sup>1</sup> Reminder: The Bank's Disclosure Policy requires that safeguard-related documents be disclosed before appraisal (i) at the InfoShop and (ii) in country, at publicly accessible locations and in a form and language that are accessible to potentially affected persons.

Framework (ESMF) will be prepared based on the participation of key stakeholders and as an outcome of the SESA process.

#### IV. APPROVALS

Task Team Leader(s):	Name: Carole Megevand	
<b><i>Approved By:</i></b>		
Regional Safeguards Coordinator:	Name: Glenn S. Morgan (RSA)	Date: 13-Feb-2015
Practice Manager/ Manager:	Name: Emilia Battaglini (PMGR)	Date: 18-Feb-2015