



Project Information Document/ Integrated Safeguards Data Sheet (PID/ISDS)

Appraisal Stage | Date Prepared/Updated: 05-05-2019 | Report No: 136896



BASIC INFORMATION

A. Basic Project Data

Country Dominican Republic	Project ID P151752	Parent Project ID (if any) P151752	Project Name Dominican Republic’s Readiness Preparation Proposal
Region Latin America and the Caribbean	Estimated Appraisal Date	Estimated Board Date Not Applicable	Practice Area (Lead) Environment and Natural Resources
Financing Instrument Carbon Finance – FCPF Readiness Fund	Borrower(s) Dominican Republic	Implementing Agency Ministry of Environment and Natural Resources	

Proposed Development Objective(s)

To assist the Dominican Republic to design and carry out the Readiness Preparation Activities by supporting the preparation of the Recipient’s REDD+ Strategy through a participatory and inclusive process.

Financing (in USD Million)

Financing Source	Amount
Borrower	0
Forest Carbon Partnership Facility (FCPF)	2.2
Total Project Cost	2.2

Environmental Assessment Category

B

Concept Review Decision

Other Decision (as needed)

B. Introduction and Context

Country Context

1. **Since the 1970s, the DR has been successful at pairing its outstanding economic growth performance with increasing its forest cover. However, in recent years forests are again facing important threats.** World Bank estimates suggest that between 1995 and 2014 the DR’s GDP growth has not only been superior when compared to other countries in the region, but that the country has also been notably successful at expanding its forest cover. According to FAO estimations, forest cover in the DR increased from 22 percent in 1973, to 39 percent in 2015.



2. **Recent estimates from MARN revealed that between 2010 and 2015, the country lost 3 percent of its forest cover and that, at least, about 6 percent of forests are degraded.** In fact, the development of the agricultural sector, one of the DR growth engines, has created important pressures on the country’s forest resources. Nowadays, the agricultural sector (livestock, forestry, fisheries and agroindustry) contributes with 16 percent of the national GDP. Government estimates indicate that the use of unsustainable of forest agricultural practices and cattle ranching activities such as the expansion of the agricultural frontier the employment of poor extensive livestock production practices in upper watersheds and protected areas on the borders with Haiti are responsible for 60 percent of the deforestation in the DR.

3. **Other direct causes of deforestation and forest degradation include forest fires, mining, pests and diseases, infrastructure expansion (including urban, road and tourism infrastructure) and natural disasters.** Indirect drivers of deforestation and forest degradation are: Weak institutional framework for forest management and absence of a regulatory framework for the forestry sector; pressure from transboundary migration and poverty. Loss and degradation of forest cover represents a loss of forest and non- timber forest products, loss of biodiversity, and soil erosion, affecting the ability of ecosystems to provide and regulate water. This is of special concern considering the country’s high exposure to extreme weather-related events, such as floods, land-slides and droughts, expected to become more frequent and severe imposing severe social and economic costs.

4. **The DR’s forest policy rests on three main pillars:** (i) The sustainable management of the national forest resources through the Sustainable Forest Management Plans (PMFS); (ii) Commercial reforestation and the conservation of degraded areas (e.g. Quisqueya Verde, localized programs, projects with international support, among others.); and, (iii) incentive and compensation systems to support forestry development and averted deforestation with Payments for Environmental Services, particularly in water recharge areas.

Sectoral and Institutional Context

5. **The REDD+ Readiness process in the Dominican Republic began in 2010 with the support of the REDD/CCAD-GIZ program.** This program supported the Dominican Republic in carrying out the initial REDD+ diagnosis and training activities, and in preparing the country’s first draft of its REDD+ Readiness Proposal. Since then, the Dominican Republic has joined other international REDD+ initiatives such as becoming a member country of the FCPF’s Readiness and Carbon funds and joining in February 2015, the UN-REDD program. As part of the UN-REDD+ The Dominican Republic is receiving targeted support and has also participated in the regional needs assessment on Non-Forest Monitoring Systems (NFM) in Mesoamerica. The country is also committed to achieving Land Degradation Neutrality (LDN) under the United Nations Convention to Combat Desertification (UNCCD); to restore 0.8 million hectares under the Bonn Challenge; and under the UN Convention on Biological Diversity, the country has committed to identify sustainability criteria for agriculture, aquaculture and forestry. Finally, through its National Determined Contributions the country has committed to reduce GHG emissions by 25 percent by 2030 with respect to 2010, and generate climate adaptation objectives, in line with the National Development Strategy 2030. The proposed project is fully aligned with the above-mentioned commitments.

6. **In 2013, The Dominican Republic presented its expression of interest to the FCPF and its Readiness Preparation Proposal R-PP.** In January 30, 2013, the Dominican Republic presented officially its expression of interest through the MARN and its Readiness Preparation Proposal (R-PP) draft during the 16th meeting of the FCPF’s Participants Committee (PC) in December 2013. Through Resolution PC/16/2013/5, the PC approved the provision of funds to the country to proceed with its REDD+ Readiness process, comprising a total financial support of \$3.8 million. The R-PP document identified the activities to be undertaken under the REDD+ Readiness phase which contains the following activities, among other key elements: (i) A preliminary assessment of drivers of deforestation and forest degradation; (ii) an analysis and preliminary strategic options actions for REDD+; (iii) a preliminary methodology to define its emissions reference level, based on past emissions rates or trends and on future estimates; (iv) a monitoring, report and verification (MRV) system proposal for REDD+; (v) a preliminary design of a national REDD+ strategy (EN-REDD+); and (vi) the proposed institutional



arrangements for a future REDD+ regime.

7. **Activities related to REDD+ Readiness preparation have contributed to the preparation of the EN-REDD, the strengthening of MARN’s technical capacities and to improve interinstitutional coordination for the sustainable management of natural resources.** The country has made progress towards achieving the PDO of the REDD+ Preparation Project of *designing and carrying out the Readiness Preparation Activities by supporting the preparation of the Recipient’s REDD+ Strategy through a participatory and inclusive process with free and informed participation of all potentially impacted stakeholders*. Significant progress has been made in creating the necessary enabling conditions for preparing the country for receiving results-based payments for emissions reductions. Creating the enabling conditions has been possible through the strengthening of MARN and other key ministries and stakeholders’ capacities, and through the design and supervision of key studies required for the preparation of the EN-REDD and the Emissions Reduction Program Document ERPD. A major step taken in this regard is the consolidation of the cross-sectoral government coordination body (CD-REDD), as well as the establishment of the Advisory Technical Committee and its specific thematic committees (the Land Use Committee and the Legal Committee), currently in operation. These committees actively engage in the revision and approval of the consulting and analytical products that inform the preparation of the EN-REDD. Some relevant REDD+ instruments and studies developed during the Readiness preparation phase include: the development of SESA and the development of an Environmental and Social Safeguards Framework; the Grievance Redress Mechanism, the development of a clear definition of forest and agroforestry systems, development of a Forest Reference Emissions Level (FREL), the completion of the series of land-use and land-use changes maps for 2005, 2010 and 2015; the development of the National Forest Inventory (NFI) and the Inventory of non-forest cover. Relevant studies include: analyses on the drivers of deforestation and forest degradation, land ownership and carbon rights, among others.

8. **The proposed AF Grant will allow the Dominican Republic to complete REDD+ Readiness process in order to continue creating the enabling conditions for the implementation of the ER-Program under preparation.** The Dominican Republic intends to use the proposed AF to develop complementary activities and broaden the scope of some of the planned activities in four out of the five original project components. These activities will also support the preparation of the country’s ER-Program, currently under preparation. The ER-Program includes fulfilling and implementing three REDD+ strategies and 22 Strategic Actions as detailed in the National REDD+ Strategy draft.

9. **Implementation of the ER-Program will require the harmonization of forest protection policies and the enhancement of carbon stocks with national and sectoral policies driving land use changes that contribute to halt deforestation and forest degradation.** Considering their respective legal mandates, the MEPyD; and Ministry of Agriculture (MAG) share a great responsibility in addressing these challenges as members of the CD-REDD¹. In light of this, this AF will continue promoting coordination between the different government agencies and the development of a shared vision for the sustainable management of forests. These are key elements that will have an important impact on the alignment and implementation effectiveness of the ER-Program which this AF ultimately aim to support. This shared vision and subsequent alignment of policies will be key to leverage the private sector investment in sustainable production systems, which is needed to achieve mitigation objectives and for the sustainability of the REDD+ efforts in the long run.

10. **The proposed AF Grant for strengthening the DR’s REDD+ Readiness phase is aligned to the World Bank Group’s (WBG) corporate goals of ending extreme poverty and boosting shared prosperity sustainably.** The REDD+ Readiness preparation process contributes to local development by strengthening the Government’s institutional capacity to improve natural resource management, while preparing the GoDR to receive ER payments that would contribute to improving the well-being of some of the most vulnerable rural. The GoDR has initiated workshops and consultations to discuss and design a plan to promote ER activities for the cocoa, coffee, cattle ranching, agroforestry, and forestry sectors.

¹ Highest governance mechanism established in the framework of the REDD+ readiness process



11. **The AF Grant is also aligned with the DR’s FY 2020-24 Country Partnership Framework (CPF), currently under preparation.** The Grant is particularly aligned with Pillar 3 of “Building resilience”, which states that the WBG will support the Government’s efforts to increase resilience and improve disaster risk management, through an integrated approach for natural resource management. Activities to be implemented will support the country in strengthening for disaster risk management and climate change. The proposed project is also closely related to the WBG project (P163260), “DR Resilient Agriculture and Integrated Water Resources Management Project” as it will contribute in measuring carbon emission reductions and removals. It is also aligned with two of the six development priority areas identified by the Country Systematic Diagnostic: (i) Improving the management of natural resources and (ii) Improving resilience to disasters and climate change

12. **The REDD+ Readiness is as well aligned with the World Bank’s corporate commitments on Forests and Climate Change.** The implementation of the AF for REDD+ Readiness will support several interventions under the WBG Forest Action Plan (FAP) Focus Areas (Sustainable Forestry and Forest Smart Interventions) and Cross-Cutting Themes (Climate Change and Resilience, Rights and Participation, Institutions and Governance).

C. Proposed Development Objective(s)

The Project Development Objective remains unchanged. The original PDO is “To assist the Dominican Republic to design and carry out the Readiness Preparation Activities by supporting the preparation of the Recipient’s REDD+ Strategy through a participatory and inclusive process.”

Key Results (From PCN)

13. **The proposed AF aims to develop complementary activities and broaden the scope of the foresaw activities under four of the five original Project Components aiming at strengthening the capacities for implementation of REDD+ activities and long-term sustainability.** The main reason for requesting the AF is the need to continue creating capacity, leadership and commitment for the effective involvement of a wide arrange of stakeholders beyond the scope of the initial activities laid out in the R-PP presented in 2014. The tools and lessons learned during the REDD+ Readiness phase indicate that it is essential to keep strengthening inter-agency collaboration, in particular the ongoing coordination efforts and policy harmonization at the national level between the MEPyD, MAG and MARN through the CD-REDD, in order to ensure the implementation of the REDD+ Strategy and its sustainability in the future.

14. **The AF will contribute to fulfill the outlined objectives of the original grant and to enhance its impacts by:** Strengthening the REDD+ governance and management mechanisms, strengthening communication, participation and outreach, enhancing the country’s capacity to apply safeguards instruments, defining carbon rights, strengthening forest and non-forests MRV systems, and accelerating the development of the Safeguards Information System and put into operation the Feedback Grievance and Redress Mechanism (FGRM).

D. Concept Description

15. **This Project Paper seeks approval of the Country Director to provide an Additional Funding (AF) grant in the amount of US\$2.20 million to the Dominican Republic** for the “Dominican’s Republic Readiness Preparation Proposal – Readiness Fund of the FCPF (P151752)”. The source of the AF grant is the FCPF Readiness Fund. The World Bank acts as Trustee of the FCPF, with FCPF financing processed via specific procedures agreed with OPCS.

16. **The AF will complement the US\$3.8 million Readiness Preparation grant signed on July 2015 (original grant),**



currently under implementation by the Ministry of Environment and Natural Resources (MARN). This grant aims at designing and carrying out the Readiness Preparation Activities by supporting the preparation of the Recipient’s REDD+² Strategy through a participatory and inclusive process mechanism. In March 2018, the Dominican Republic presented the project’s Mid-Term Report (MTR) to the FCPF Participants Committee, self-assessing its progress towards REDD+ Readiness Preparation using the FCPF REDD+ Readiness Assessment Framework’s evaluation criteria. In addition, the MTR served to identify financial gaps to complete the REDD+ Readiness process. As a result, the country requested additional funds for an amount of US\$ 2.2 million and the approval by the Participants Committee.

17. **The proposed additional grant would help to consolidate achievements under the original grant and to strengthen the Dominican Republic’s capacity to transition from REDD+ preparation to REDD+ implementation.** The additional grant would finance the costs associated with scaling up and expanding the activities of Component 1 (REDD+ Readiness Organization and Consultation); Component 2 (REDD+ National Strategy Preparation); Component 4 (Monitoring Systems for Forests and Safeguards); and Component 5 (Monitoring and Assessment (M&A) Framework and Grant Management). Component 3 (National Forest Reference/Emission Level) has been completed and no additional activities under this component are currently being considered or required.

The AF project has four components.

18. **Component 1: REDD+ Readiness Organization and Consultation.** The national and local institutional REDD+ capacity has been improved during the Readiness Preparation process: A REDD+ steering Committee¹ and technical committees (legal, safeguards, land and forests) were established to support the readiness preparation phase. A communication strategy to communicate the benefits of REDD+ and train key stakeholders is currently under preparation. In addition, as part of the requirements established under the common approach, the Cancun safeguards and the Bank’s operational policies, the DR developed the relevant REDD+ safeguards instruments. In light of this, the proposed AF Grant will finance activities to strengthen the governance and management mechanisms, and their capacity to provide insights to complex situations on which the country lacks specific experiences in the framework of REDD+.

19. **Component 2. REDD+ Strategy preparation.** The National REDD+ Strategy has been built on a broad, legitimate and inclusive participation and consultation process. The REDD+ consultation and participation process was based on a series of regional and national multi-sectorial, inter-institutional workshops (36 workshops with 2714 participants). To date, the strategy encompasses 3 strategic components and 22 strategic actions. All the key strategic studies needed for the development have been concluded. Relevant studies include: analyses on the drivers of deforestation and forest degradation, land ownership and carbon property, among others. The AF Grant will be used towards increasing the technical capacity of the MARN on soils, agriculture and forests management; support the legal unit to address carbon rights and emission reduction program activities; and to strengthen the MARN capacities to reach agreements with emission reduction implementing institutions and organizations, as well as increasing their technical and legal know-how.

20. **Component 3. National Forest Reference/Emissions Level.** The Dominican Republic formulated its National Forest/Forest Emissions Reference Levels based on definitions of forests, degradation, deforestation and reforestation that were developed during the REDD+ readiness process. Developed Reference Level was established at the national level and includes the average emissions and removals produced in the conversion of forest to non-forest lands (deforestation) and the conversion to forest lands (increase of stocks) and the flow of carbon in lands that remain as forests, either due to forest degradation or to an increase in carbon stocks. No additional activities are considered for this phase.

21. **Component 4: Monitoring Systems for Forests, and Safeguards.** As part of the Readiness Preparation process. The DR completed a series of land-use and land-use changes maps for 2005, 2010 and 2015; a National Forest Inventory (NFI) and the Inventory of non-forest cover. The AF will develop and improve the monitoring capacity (training and equipment) of public and private stakeholders to bolster the forests monitoring systems (including the protected areas)

² Reduced Emissions from Deforestation and Forest Degradation



and the Safeguards Information System, with a stronger involvement of local organizations and other potential beneficiaries. Capacity building activities for the MAG’s Livestock General Directorate and Department of Training and Extension to promote climate-smart practices in the livestock sector and to monitor the carbon component in non-forest systems that will participate in the ER-Program are also considered for receiving additional funding.

22. The institutional implementation arrangements will not change under the additional funding, and the structure of Components and Subcomponents will remain the same, given that MARN has carried out activities and the implementation of Safeguards Policies satisfactorily in the framework of the original grant.

23. The executing agency for the AF will continue to be the MARN, from the Directorate of Climate Change, through a Project Implementation Unit (PIU), which has been responsible of preparing the Readiness-Package. Likewise, MARN is responsible for promoting the necessary synergies with other ministries and agencies for an efficient implementation and effective governance of EN-REDD. The MARN has a technical team that has been strengthened during the Readiness process with the experience, commitment, and support of a wide range of stakeholders.

SAFEGUARDS

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

24. The EN-REDD+ and the ER-Program have been built on a broad participatory process that consisted of conducting workshops in all regions of the country (since 2012 to 2018 and lead by MARN) with a variety of actors and representative groups of the different communities that directly or indirectly depend on forests. The workshops sought to prioritize in a consensual manner, the main guidelines that this national initiative must contain to guarantee that the strategic activities implemented in the future do not affect, among other aspects, the rights of local communities. Effective and inclusive participation of all key groups and stakeholders was considered a priority since the beginning of the process. Special emphasis was made on: local communities, small and medium producers, grassroots community organizations (Neighborhood Boards, Housewives Clubs, Producers Associations, Farmers Associations, etc.); Non-governmental organizations; Associations of Private Producers; Universities; Local representatives of government institutions; and other actors that are relevant for the formulation and implementation of the EN-REDD + and the ER-Program.

25. The Dominican Republic’s REDD+ National Strategy (or EN-REDD+ for its acronym in Spanish) covers the entire national territory. A SESA was conducted (funded with FCPF resources) to identify the potential benefits and risks of implementing EN-REDD+. The SESA considered both the World Bank Operational policies applicable to the Dominican Republic and the United Nations Framework Convention on Climate Change (UNFCCC) Cancun Safeguards. SESA consists of a participatory and analytical process that consults key stakeholders that directly or indirectly depend on the forestry, agroforestry and livestock sectors. Consultations were carried to identify and analyze potential impacts, and REDD+ related opportunities and risks. Based on the SESA results, the country prepared the ESMF, PF and an RPF. The SIS is in an advanced stage both in formulation and design, and the FGRM is finalized. The abovementioned safeguards instruments will be submitted to the Technical Advisory Committee (CTA) for review by end of March 2019 and presented to key stakeholders in April 2019. Validation of instruments will be made through two national workshops. The final versions will include the recommendations of workshops observants and participants.

26. The implementation scope of the REDD+ National Strategy is national, but the ER-Program will focus on the five areas with the greatest potential for CO2 mitigation. These areas also have the appropriate social and environmental conditions for the reduction of emissions, as well as for the development of social and environmental co-benefits. The biophysical and socioeconomic characteristics of the five preferred implementation areas have been analyzed. The biophysical and socioeconomic characteristics of country’s protected areas and of several successful programs and



projects part of the ER Program have also been analyzed. The criteria used for prioritizing the five areas are: Presence of high levels of deforestation, forest degradation and / or soil loss; strategic importance in terms of hydrological services, water supply and / or infrastructure such as dams; biodiversity; human population benefitting from the ecosystem services of the referred basins; high potential for success in REDD + actions, including: presence of institutional key actors, places with successful experiences of programs and projects on human / rural development, environment and natural resources.

27. It is expected that the strategic activities will be implemented through the existing national programs (Executing Entities). The existing programs have been identified and selected by MARN and key stakeholders and validated by the CTA. National existing programs have been selected based on several criteria, including: (i) capacity to improve livelihoods of the local population; (ii) capacity to strengthen participation of local communities in the management of the forest landscape; (iii) low carbon emission systems oriented, with products and value chains derived from the forest landscape managed in a sustainable way; and (iv) capacity to offer additional environmental benefits to emissions reduction, such as biodiversity and hydrological services.

28. The country is in the process of finalizing a Benefit Sharing Plan for the Emission Reduction Program’s that is in line with the country’s legal framework and the program’s safeguards instruments. The BSP will undergo a consultation and validation process with relevant stakeholders prior the signature of the ERPA. The current draft of the BSP is built on government programs and funds and is in line with their goals under the ERP. The BSP also considers the points of view of the government programs, which were raised through workshops held during the SESA process. One of the main products of these consultation processes was the agreement on principles that will guide the distribution of benefits. An additional consultation made in February 2019 was carried out with the programs/funds to discuss the proposed benefit sharing arrangements, including the proposed guidelines for the participation of programs and funds in the BSP, and to analyze their implications on the program’s operation and costs. This consultation set the basis for the involvement of the programs and funds and a strategy to inform and consult with the potential beneficiaries on the proposed benefit sharing arrangements, and more generally, on the objective and functioning of the ER Program.

29. The Dominican Republic’s ER Program will seek to reduce emissions and enhance forest carbon stocks by continuing, broadening and strengthening existing initiatives that promote sustainable forest management and sustainable rural development practices in general. The scope of the ER Program is national, and emission reductions and carbon stock enhancements will be estimated at the national level. Thus, the government of the Dominican Republic has decided that the programs and funds that will be used to achieve mitigation results will also serve as the channels to allocate the resources obtained from results-based payments to the beneficiaries. The Executing Entities will need to comply with the guidelines that the Benefit Distribution Plan will establish and with defining minimum standards on key aspects to ensure consistency across programs and compliance with the principles, including environmental and social safeguards.

30. In general, the resources obtained from the Carbon Fund would be provided as additional support for continuing and enhancing the activities previously funded by the executing entities as the CF payments are not expected to result in individual payments. It is expected that individual payments in cash would not be enough to significantly incentivize beneficiaries to continue and enhance their mitigation actions or to improve their capacities and conditions allowing them to scale-up such actions in the future, while non-monetary benefits contributions are more likely to support achieving this goal and to have wider social and environmental benefits.

31. The executing entities reach a wide variety of beneficiaries, which together are expected to represent the main beneficiaries of the ER Program. An initial categorization of beneficiaries is: i) communities; ii) private landowners; iii) Associations (of cattle ranchers, cocoa and coffee producers, etc.); and iv) the Dominican Republic government (including Executing Entities), Ministry of Agriculture, MARENA, and the MARN), as a potential recipient of a limited share of the proceeds that will be used to cover the operational costs of the ER Program (including those related to the implementation of the Benefit Sharing Plan). Participation of potential beneficiaries in the ER Program will always be voluntary. Potential



beneficiaries will also be able to decide on how to participate of the ER program by choosing between the executing entities and programs available in their region .

32. Regarding the highly percentage of informal land tenure, the MARN will implement customary legal mechanisms to recognize and give legitimacy to the right of land tenure, to facilitate the participation of potential beneficiaries who have an informal possession of the land.

33. The different products have been the result of the combined work of international and / or national experts, institutional technical teams (integrated by representatives of the different institutional thematic areas involved in it), and the PIU. The products have been consulted and/or validated through regional and national workshops, and working groups formed within the CTA, such as the legal working group, and the land and forest use and the safeguards group. In general, there have been more than 2,700 participants assisting meetings and / or workshops for consultation, validation, technical work and negotiations.

34. Finally, with the AF it is expected to consolidate the process of participation and consultation through a National Workshop with key stakeholders that participated in the process since project inception, to present the SESA Report and the ESMF prepared.

B. Borrower’s Institutional Capacity for Safeguard Policies

35. Activities related to the preparation of the EN-REDD have contributed to strengthening government technical capacities to improving inter-institutional coordination for the sustainable management of natural resources. During implementation of the original grant. The PIU was consolidated, and an Interinstitutional Collegiate Body was created. This body is integrated by the Steering Committee with the participation of the different MARN vice-ministries related to REDD + and the Ministry of Agriculture. As part of this process a Technical Advisory Group and three thematic committees have been created to work on the issues and processes related to the design and implementation of the EN-REDD. These coordination and technical advisory bodies will continue to support the implementation of the AF.

36. Preparation during Readiness phase included an intense participatory process carried out to conduct SESA. This process allowed the country to make significant progress in raising awareness of key stakeholders on the design and implementation of the EN-REDD.

37. As part of the Readiness, the government established four stages of safeguards compliance throughout the REDD+ implementation

- i. Registration of beneficiaries by Executing Entities (participating Programs / Projects). During this phase the government will need to present the documents established in the ESMF that relate to both the general and specific requirements for the selection of activities that reduce deforestation and forest degradation. Moreover, it must be demonstrated no activities with negative social or environmental activities will be included;
- ii. Evaluation of requirements of the previous stage. In this stage a desk review assessment of the RPF and ESMP will be conducted, in addition to a field assessment that will be led by the Executing Entities to corroborate the conditions of the site;
- iii. This stage focuses on the government’s training, and the development of capacities to comply with good practices and mitigation measures that must be implemented during the execution of the activities. The government should monitor and report on its compliance.
- iv. Implementation of on-site activities: based on the impacts identified in the ESMF, RPF, PF, and the ESMP’s. At this stage the data base of mitigation measures and good environmental and social practices will be applied,
- v. Monitoring and reporting. During this stage technicians of the Executing Entities and beneficiaries need to register their compliance with safeguards with regards to the activities that reduce forest degradation and



deforestation, enhance environmental services and emission removals.

vi. Results are linked to the Safeguards Information System (SIS).

38. The data base of mitigation measures and good environmental and social practices allows to perform a quick assessment of the environmental and social performance during the implementation of activities. This data base will be completed in April 2019 and will allow for monitoring safeguards compliance and it will be linked it to the SIS. The tool will be included in the agreements with the Executing Entities, calls for Programs / Projects, training, and contractual agreements with beneficiaries.

39. Measures related to the compliance of safeguards and the provision of environmental and social co-benefits (agrobiodiversity, conservation agriculture, social inclusion, gender equality, etc.), will be included in training sessions directed to participants from central and regional agencies, as well as beneficiaries. These measures will also be included in the dissemination and communication strategy being developed by MARN, which will reinforce environmental awareness among participants.

40. Finally, the Feedback Grievance Redress Mechanism (FGRM) is ready, and it is based on the Linea Verde (window for civil society) existing system. Linea Verde lies within the Social Participatory Direction of MARN, with the responsibility to receive complaints, give assistance to those who present complaints, keep a record of complaints, transfer complaints to the corresponding institutions when complaints are not under MARN’s competence, monitor complaints; and keep citizens informed of the course and final decisions.

C. Environmental and Social Safeguards Specialists on the Team

Dora Patricia Andrade, Environmental Specialist GENLC

Lilian Pedersen, Social Specialist GSURR

D. Policies that might apply

Safeguard Policies	Triggered?	Explanation (Optional)
Environmental Assessment OP/BP 4.01	Yes	<p>The Original Project is rated as Risk Category B. The project was designed to generate positive environmental impacts through increased incentives to protect the forests and stronger capacity at the local level for forest and natural resource management. Potential negative impacts are expected to be of limited scope and not significant or irreversible. This category remains valid for the AF.</p> <p>For the parent project, MARN is preparing the EN-REDD+ based on different studies such as drivers of deforestation and forest degradation, land tenure, legal and institutional framework analysis, among others. The EN-REDD+ delineates the strategic options and activities to address the main drivers of deforestation.</p> <p>With the aim to evaluate the strategic options, a SESA was carried out. Conducting of SESA allowed the Government to evaluate the risks and impacts of the ER program and to propose measures to prevent, mitigate or offset the risks and impacts, which were reflected in ENREDD+ and in the ESMF.</p>



The main concerns raised during the workshops and how to address were: i) Prohibition, restriction and control of natural resources use: The ENREDD and ESMF integrate actions and programs with activities that seek to increase the productivity and profitability of agricultural and livestock producers through the sustainable use of land and forest resources. This includes the development of the process framework to define how to handle involuntary restrictions on access to natural resources in protected areas; ii) Involuntary displacement of communities due to the creation of protected areas and changes in land use: The ESMF establishes an exclusion list of activities to guarantee that the ERP will not support activities that involve involuntary physical displacement of communities due to changes in land use ; iii) Inclusion of vulnerable groups to guarantee a fair distribution of benefits. The ENREDD prioritizes vulnerable groups. Moreover, the design of the Benefit Sharing Arrangements includes fair distribution as one of its ruling principles; iv) Recognition of rights to whom do not have land title, the ENREDD proposes alternative solutions for recognition of land possession; v) Breach of laws by the authorities, and political use of REDD+: As part of the EN-REDD and Readiness preparation process, the Government of DR has developed a FGRM to report complaints on authorities’ abuses or omissions and a SIS to monitor compliance with social and environmental safeguards and the World Bank operational policies; vi) Loss of biodiversity due to reforestation, use of agrochemicals, water resources pollution: The ESMF establishes the use of native species, preferably endemic when promoting sustainable forest management, landscape restoration, and the implementation of agroforestry, and silvopastoral actions. Complementarily, the government has also developed a pest management plan).

The ESMF establishes the procedures and requirements for the exclusion and selection of projects, the preferred implementation areas, the general guidelines for preventing and mitigating the identified risks and the possible impacts of the EN-REDD+ strategic options, including specific instruments for pest management, and The Resettlement Policy Framework (RPF), and Process Framework (PF). The ESMF describes the process to prepare the Environmental and Social Management Plans (ESMP’s) for those activities that will be implemented through the ER-Program, including forest management, agroforestry, silvopastoral production, and reforestation, among others. Capacity building activities are foreseen in the central and local institutions for implementation and provides specific guidelines to avoid or minimize potential environmental impacts.

Another requirement of the Readiness process is the



development of a Safeguards Information System (SIS) to monitor the compliance with safeguards during the implementation phase. The SIS is still in development. An advanced draft of a Feedback Grievance Redress Mechanism (FGRM) has been prepared to manage all the claims and assist and inform the population about claims resolution.

Currently, the safeguards instruments are being finalized and will be consulted and validated in April 2019. The final version of the instruments will include the recommendations and observations of the participants.

Performance Standards for Private Sector Activities OP/BP 4.03	No	This policy is not triggered given the scope of the objectives and activities of the ERP.
Natural Habitats OP/BP 4.04	Yes	This policy is triggered since most of the forested areas of the country are clustered in protected areas. Thus, it is necessary to guarantee that all the actions that would be carried out during the ER-Program phase will aim at conserving forests and biodiversity. The ESMF assess the possible risks for forest habitats in protected areas and other sensitive habitats under private administration or community management to ensure that program activities in protected areas are coherent with their management plans and integrate rules and guidelines that consider possible future impacts during implementation of the ER Program.
Forests OP/BP 4.36	Yes	<p>This policy is triggered since the objectives and activities will focus on the promotion and conservation of forests, their protection/regeneration and management, as well as on the links and use of these resources and non-timber forest products by local communities.</p> <p>The measures included in the ESMF are consistent with the national policy requirements related to smallholder forestry and large-scale forestry and are based largely on the Dominican Republic experience in community forests, payments for environmental services and ongoing sustainable forest management programs such as the “<i>Quisqueya Verde and Plan Sierra</i>”. During the preparation phase, these and other rural development initiatives were evaluated to ensure that the key social and environmental risks and potential impacts associated with REDD+ were incorporated in the ESMF.</p> <p>The ESMF delineates good practices of the sector in relation to forestry investments and firefighting programs, among others, which are consistent with the WB health and safety environmental guidelines.</p>
Pest Management OP 4.09	Yes	This policy is triggered because the presence of pests has been identified as one of the significant drivers of forest



		degradation. The ESMF includes Instruments for the management of pests. The Integrated Pest Management (IPM) instrument describes the measures to be taken for the integrated management of pests. These measures privilege the use of biological and mechanical methods over chemical control. Additionally, it considers a recently approved Code for agricultural systems that gives the mandate to MARN to supervise the health of forest lands, in order to solve through preventive measures any problem related to pests.
Physical Cultural Resources OP/BP 4.11	No	This policy is triggered, given the national nature of the ER-Program and considering that it is likely that traces of physical cultural resources may be found in forests or rural areas. Some of these objects may belong to pre-Hispanic structures, sacred sites, protected lands, etc. To comply with this policy, MARN is working with the National Institute of Culture, a federal government agency dedicated to the preservation and protection of the nation's archaeological, anthropological, and historical heritage to coordinate the reporting and the treatment of fortuitous findings. The ESMF establishes a procedure that will be applied in the case of chance finds.
Indigenous Peoples OP/BP 4.10	No	OP/BP 4.10 is not triggered given that in the DR there are no longer distinct indigenous peoples according to the four criteria established under OP 4.10.
Involuntary Resettlement OP/BP 4.12	Yes	This policy is triggered, primarily because there could be restrictions on the use of natural resources in national protected areas associated with the REDD+ strategic options. The SESA process has been finalized, and the ESMF – through annexes - provides recommendations through a Process Framework (PF) and a Resettlement Policy Framework (RPF) to manage impacts in the event of potential restrictions of access to natural resources (PF), or potential economic displacement and/or land acquisition because of the future implementation of the ER Program on the ground (RPF), especially considering small farmers and other vulnerable groups.
Safety of Dams OP/BP 4.37	No	This policy is not triggered as the project will not support the construction or rehabilitation of dams, nor will it support other investments which rely on the performance of existing dams.
Projects on International Waterways OP/BP 7.50	No	This policy is not triggered as REDD+ activities will not involve the use or potential pollution of international waterways.



Projects in Disputed Areas OP/BP 7.60

No

This policy is not triggered as REDD+ activities will not be implemented in disputed areas.

E. Safeguard Preparation Plan

Tentative target date for preparing the Appraisal Stage PID/ISDS

n/a

Time frame for launching and completing the safeguard-related studies that may be needed. The specific studies and their timing should be specified in the Appraisal Stage PID/ISDS

The Safeguards Instruments are being presented to key stakeholders for discussion and validation in April 11-12, 2019 through two national workshops. The final versions will include the recommendations and observations of the participants and will be disclosed at the WB web and MARN webpage.

Safeguards instruments (SESA-ESMF-GRM-SIS) will be submitted to ESSA at the WB for review together with the ERPD and an appraisal stage ISDS.

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