



Concept Environmental and Social Review Summary

Concept Stage

(ESRS Concept Stage)

Date Prepared/Updated: 08/14/2019 | Report No: ESRSC00731



BASIC INFORMATION

A. Basic Project Data

Country	Region	Project ID	Parent Project ID (if any)
Congo, Democratic Republic of	AFRICA	P169021	
Project Name	National Agriculture Development Program		
Practice Area (Lead)	Financing Instrument	Estimated Appraisal Date	Estimated Board Date
Agriculture and Food	Investment Project Financing	4/20/2020	7/7/2020
Borrower(s)	Implementing Agency(ies)		
Democratic Republic of Congo	Ministry of Agriculture		

Proposed Development Objective(s)

To improve agriculture productivity and market access of smallholder farmers in selected regions and strengthen public sector capacity to respond to eligible agriculture sector emergencies.

Financing (in USD Million)	Amount
Total Project Cost	500.00

B. Is the project being prepared in a Situation of Urgent Need of Assistance or Capacity Constraints, as per Bank IPF Policy, para. 12?

No

C. Summary Description of Proposed Project [including overview of Country, Sectoral & Institutional Contexts and Relationship to CPF]

The program will begin with supporting agriculture productivity growth at farm level, allowing smallholder farmers to increase assets and production, following with interventions related to supporting market access and productive inclusion of those smallholders into agriculture supply chains. The phasing of such sectoral interventions will be underpinned by significant investments on the delivery of agriculture public goods and services at national and local levels, including agriculture research and development, animal and plant health, and infrastructure.

Public Disclosure



The proposed program will build upon this validated approach and successful experiences in DRC and in the region, and work within four components: (1) improve agriculture (including crops, livestock, and fisheries) production (Comp. 1); (2) improve market access for smallholder farmers (Comp. 2); (3) build public sector capacity, in particular of the Ministries of Agriculture, of Livestock, of Fisheries and of Rural development, in delivering basic agriculture public goods and services in the project area, and strengthen Program management and M&E at National and Provincial level in participating provinces (Comp. 3); and (4) strengthen agriculture emergency response (Comp. 4). All Program components are interlinked and they are designed to begin implementing simultaneously. Components (1) and (2) address bottlenecks and catalyze the agriculture productivity potential of the intervention areas. Component (3) contributes towards building and strengthening the agriculture public goods and services essential for improving agriculture incomes, and Component (4) will strengthen the capacity to respond rapidly and effectively to eligible agriculture emergencies in the country.

D. Environmental and Social Overview

D.1. Project location(s) and salient characteristics relevant to the ES assessment [geographic, environmental, social]
The project will be implemented in three geographic regions (areas) of the DRC: Kasai, Eastern and Western regions. During Phase 1 the following provinces will be targeted:

1. Kasai region: the province of Kasai Central: The region is in an enclave situation (difficult access to large urban centers and ports, and poor communications and transport infrastructure) and suffers from very limited access to agriculture public services and donor support in relation to other regions of the country. The region is faced with rapid urbanization and high rate of deforestation as a result of high demand for consumption of charcoal for domestic energy use, as a large proportion of households have no access to electricity.
2. Eastern region: the province of North Kivu: this region is characterized by the Great Lakes such as Lakes Kivu and Edouard, and rivers including Rutshuru, Rwindi, Semliki, Osso and Lowa. Most of this population is rural and works in agriculture. The provinces in the Eastern region border two neighboring countries Rwanda and Uganda. This proximity facilitates trade.
3. Western region: the provinces of Kongo Central and Kwilu. The vegetation of Kongo Central includes three distinct types of natural formations: the coastal hinterland or coastline, characterized by mangrove vegetation in the marshlands of the mouth of the Congo River and steppes in the plateaus overlooking the Moanda coast; Lower River District covered by the forest in all its extent; the district of Cataractes and District of Lukaya which, despite heavy rainfall, correspond to a savannah region interspersed with shreds of forest.
Kwilu is a new province since 2015 and is crossed by large rivers, including the Kwilu, Kwango and Kasai. Most agricultural products (cassava, sweet potatoes, legumes, etc.) grown in this region mainly supply the city of Kinshasa.

In total, four (4) provinces will be involved in this program during Phase 1.

Additional details regarding the scope of construction and contracting arrangements will be elaborated during preparation.

D. 2. Borrower's Institutional Capacity

At national level, the DRC has a legislative and regulatory framework that can help for a proper environmental and social management. The main project counterpart is the Ministry of Agriculture, which has experience in World Bank's safeguards requirements. However, at level of the provinces concerned by the project, the capacity of provincial institutions must be strengthened during implementation. The Ministry of Environment, Conservation and Sustainable Development (MECNDD) governs environmental policies and their compliance. The national environmental agency,



Agence Congolaise de l'Environnement (ACE), is the entity that oversees the approvals of environmental and social studies, monitoring and evaluation of such studies, and implementation at national level. This agency is also familiar with safeguards instruments including the Environmental and Social Management Framework (ESMF), the Resettlement Policy Framework (RPF), and the Indigenous Peoples Policy Framework (IPPF). Recently, the Agency established offices in some provinces for a better monitoring of projects in the field. However ACE is understaffed and has limited financial capacity, and despite several donor-funded capacity-building initiatives, it still largely relies on donor funds to carry out its field supervision duties. At the provincial level, government agencies (including those attached to the MECNDD) often do not have the necessary equipment to monitor social and environmental impacts, staff lack training, and management capacity is limited.

Capacity building is nevertheless required to enable this structure to play its role fully, particularly in the context of the ESF. Despite its familiarity with the Bank's Safeguard policies, ACE has little prior experience working with the Bank's new Environmental and Social Framework (ESF). The Ministry of Agriculture will have program implementation responsibility, working in close collaboration with the Ministries of Fisheries and Livestock, Rural Development and Scientific Research and Technology. Project implementation will be provided by a team housed within the a national coordination unit that implements all three other existing Bank-financed projects in the agricultural sector. While familiar with the Bank's previous social and environmental Operational Policies, this unit will need capacity-building to enable it to work with the requirement of the new ESF. Going forward, the Bank has identified the need for the PIU to hire a full time dedicated Environmental safeguards specialist and a Social safeguards specialist to lead the implementation of relevant standards for this project.

II. SCREENING OF POTENTIAL ENVIRONMENTAL AND SOCIAL (ES) RISKS AND IMPACTS

A. Environmental and Social Risk Classification (ESRC)

Substantial

Environmental Risk Rating

Substantial

The environmental risk is rated Substantial at this stage. The nature and scale of anticipated adverse environmental risks and impacts of the project activities are related to road maintenance works and operations, including occupational health and safety and management of invasive species, as well as on-farm activities of rural smallholders such as occupational health and safety, use of pesticides, natural hazards, resource efficiency (water) and soil erosion/management of topsoils.

Additional factors contributing to Substantial risk are due to (i) Sector context: an overall limited consideration of environmental sustainability in the agriculture sector in DRC, particularly at the provincial level; (ii) Low capacity of beneficiaries : the need for longer-term work with remarkable field presence with low(er)-capacity producers to achieve behavior changes in terms of environmental management; (iii) Subproject siting: uncertainty on the location of the subproject investments and thus their environmental sensibility; and (iv) Low capacity of Borrower: an overall low capacity in DRC, including the pending capacity assessment on environmental management within Ministry of Agriculture, especially with project under ESF.

Social Risk Rating

Substantial

Social risk is considered to be Substantial. This is due less to potential impacts from the project itself than to general conditions of instability, conflict and fragility in Kasai Central and North Kivu, which could affect project beneficiaries



in farming communities. The project intends to work with existing smallholder farmers to improve their agricultural production and access to markets, and encourage greater inclusion of women and youth in the sector under Component 1, although it is unclear how this latter objective will be achieved in a demonstrably low-capacity environment.

There are significant conflict and security risks in Kasai Central, due in part to recent influxes of Congolese returnees from Angola, and movements of other internally displaced persons (IDPs) due to intercommunity conflicts and the presence of armed groups. North Kivu (as well as immediately adjacent Ituri Province) also has conflict and security risks from armed groups, as well as an Ebola epidemic which has continued to grow unabated since first identified in the province in mid-2018.

A security assessment will need to be carried out for the project and appropriate measures to protect project workers and beneficiaries will be developed in an action plan. The project is likely to take place in areas where Indigenous Peoples are present in the Kasai and Eastern Regions. Care will need to be taken to such populations are fully included in project activities, as well as having access to improved agricultural techniques and markets. A Resettlement Policy Framework and Indigenous Peoples Planning Framework will be developed to address potential land and social risks, including those that may affect Indigenous Peoples. A Gender-based Violence/Sexual Exploitation and Abuse and Sexual Harassment (GBV/SEA/SH) assessment and subsequent Action Plan will also be prepared for the project.

B. Environment and Social Standards (ESSs) that Apply to the Activities Being Considered

B.1. General Assessment

ESS1 Assessment and Management of Environmental and Social Risks and Impacts

Overview of the relevance of the Standard for the Project:

Given that the sites of the expected investments are not known with certainty to date, an environmental and social risk assessment is required to be conducted prior to Board approval.

E&S risks and impacts will be assessed for the proposed subprojects under Subcomponent 1.1, Direct smallholder farmer support, to support the increase of smallholder agriculture productivity (of crops and animal products through adoption of improved technologies and practices and access to finance; Subcomponent 1.2: Smallholder technical assistance and financial inclusion support, which will finance the strengthening of providers of: (i) smallholder technical assistance (public, private, NGOs), (ii) land administration/registration services, and (iii) financial services, such as Village Savings and loans (VSLA) groups (petites caisses villageoises autogérées), financial intermediaries, and microfinance institutions. Subcomponent 2.1: will focus on improving priority rural roads and transport corridors (including waterways). This subcomponent could also finance: (i) community market infrastructure (improvements in community markets, slaughterhouses, etc.); and (ii) off-farm irrigation infrastructure directly linked to smallholder investments under subcomponent 1.1; Subcomponent 2.2: will provide matching grants based on a demand-driven approach to smallholder farmer groups (cooperatives/associations) and agri-MSMEs who will work with smallholder farmers beneficiaries of subcomponent 1.1. . The activities of this project could have environmental issues in soil conservation, water usage, pest management, use and management of pesticides, health and safety, air quality, etc. Expected impacts of this project can be avoided and/or managed if all measures are taken in the implementation. The location of the subprojects, including smallholder farms and Agri-SMEs to be supported under of the proposed project will be identified during implementation. The Ministry of Agriculture will prepare an Environmental and Social Management Framework (ESMF) including measures to address all the environmental and social risks and impacts assessed should be developed and implemented properly and include a Pest Management Plan (PMP) that will be



prepared to promote integrated pest management (based on methods of biological or environmental control of pests) and reduce the management of chemical pesticides while controlling their use and management. Site specific instruments such as Environmental and Social Management Plans (ESMPs) will be developed as and when necessary during project's implementation.

The ESMF will describe the typology of subprojects and define screening mechanisms and monitoring procedures for the identification and management of potential adverse environmental and social impacts and provide a grievance redress mechanism with guidance on the reception, recording, handling, and reporting of complaints that may be encountered during project implementation. In addition, the ESMF will clarify: (i) the environmental and social context in the targeted areas of intervention of the project; (ii) the policy context, as well as the institutional and legal frameworks; (iii) the environmental impact assessment system in DRC, including the review and approval mechanism; (iv) an evaluation of the environmental institutional capacities; and (v) an estimate of the budget needed to implement the framework.

As this a Substantial Risk project and the Borrower has limited capacity, the borrower will retain independent specialists to carry out ESAs.

The project may involve land acquisition leading to economic or physical displacement. Therefore, the project will prepare, consult upon and disclose a Resettlement Policy Framework (RPF). Also because the project will be operating in areas where there are known to be Indigenous Peoples, the project will also prepare an Indigenous Peoples Planning Framework (IPPF). A security assessment will be carried out due to the level of conflict existing in the Kasai and Eastern Congo regions including provinces targeted by this project (Kasai Central and North Kivu) and an action plan developed. A Gender-based Violence, Sexual Exploitation and Abuse and Sexual Harassment (GBV/SEA/SH) assessment and subsequent Action Plan will also be prepared for the project.

Areas where “Use of Borrower Framework” is being considered:

The project will apply the World Bank ESF, and in part the national system directives related to the preparation of ESIA, as well as national laws on Labor conditions

ESS10 Stakeholder Engagement and Information Disclosure

Stakeholder Engagement is a critical tool for social and environmental risk management, project sustainability and success. In consultation with the Bank, the Borrower will prepare and implement an inclusive Stakeholder Engagement Plan (SEP) proportional to the nature and scale of the project and associated risks and impacts. A draft of the SEP will be prepared and disclosed as early as possible and prior to appraisal. Also, this plan will be updated as and when necessary. The objective of the SEP is to have an overview of the project stakeholders and establish a systematic approach for stakeholder engagement, maintain a constructive relationship with them, take into account stakeholders' views, promote and provide means for effective and inclusive engagement with project-affected parties throughout the project life-cycle, and ensure that appropriate project information is disclosed to stakeholders in a timely, understandable, accessible and appropriate manner. Project stakeholders will include project beneficiaries, including smallholder farmers, farmer cooperatives and agri-MSMEs, as well as national, provincial and local government institutions associated with the project and/or involved in issues regarding agricultural and livestock development and extension services, rural development, scientific research and technology, environmental protection, land use, and environmental protection. The SEP will also identify and engage potentially vulnerable populations, including--but not limited to--women, youth, elderly, those with physical, mental or other disability, and



indigenous peoples. Specific attention will be given to vulnerable groups and individuals to ensure they and their specific concerns are included in consultations, and that supplemental measures are put in place to ensure they have full access to project benefits, and that any special needs are addressed. Specifically, women and girls and other groups particularly at risk of SEA GBV (for instance, indigenous women, sex workers, women head of household, etc.), will be targeted through dedicated consultations strategies allowing them to safely and ethically participate and express their perspectives, specifically on project-related risks of GBV and hotspots, the effectiveness of mitigation measures put in place, the knowledge and accessibility of and trust in the project GRM, etc. The project will also include a Grievance Redress Mechanism (GRM) to handle any complaints in the context of the project. The SEP will be prepared and disclosed prior to appraisal, and updated as needed throughout the life of the project.

B.2. Specific Risks and Impacts

A brief description of the potential environmental and social risks and impacts relevant to the Project.

ESS2 Labor and Working Conditions

Based on the nature of project activities and their magnitude, the project will include direct workers and contracted workers, and there may be primary supply workers. All the workers associated with the project will need to meet requirements such as described in ESS2 for terms and conditions of employment, non-discrimination and equal opportunity, worker's organizations, child labor, forced labor, a grievance mechanism and occupational health and safety (OHS). The types of OHS risks expected are the risk of pesticide contamination, traffic accidents, injury by sharps material, snake bites, etc. No major risk factors are identified at this stage, but an assessment of the potential risks should be made to better identify them. Civil servants working in connection with the project full-time or part-time will remain subject to the terms and conditions of their existing public-sector employment or agreement, unless some of them have made an effective legal transfer of their employment or engagement to the project.

The Labor Management Procedures (LMP) will be prepared by the Borrower to identify the main labor requirements and risks associated with the project and help the Borrower to determine the resources necessary to address project labor issues. The LMP will include Labor Management Procedures for the direct workers (e.g. PIU staff), contracted workers or primary supply workers and community workers if applicable. The project will also include a grievance mechanism for labor disputes of project workers. The LMP will be prepared and disclosed prior to appraisal.

The project includes support for activities where adverse OHS risks are anticipated, including road maintenance, on-farm smallholder agriculture and Agri-SMEs/agricultural supply chains. OHS risks will be further assessed during preparation in the LMP and the ESMF.

A GBV/SEA/SH (sexual harassment) risk assessment will be carried out during preparation phase, and will include the development of a GBV/SES/SH Action Plan. Depending on the level of risk determined for the project, such a plan may include, but not be limited to, codes of conduct for and regular training of workers on GBV/SEA/SH, as well as the need for contractors to outline how they will implement measures for the prevention, response and accountability of GBV, including SH and SEA, in line with the requirements outlined by the ESMP. Contractors will need to have clear policies and budgets, including how they will hold alleged perpetrators accountable (accountability frameworks).

ESS3 Resource Efficiency and Pollution Prevention and Management



Vegetation and soil loss: The clearance and loss of areas of vegetation and faunal habitat will be minimal. Considering the lack of maintenance of rural roads, vegetation has probably invaded some sections of these rural roads. Therefore, rural road rehabilitation works will likely result in a loss of vegetation along the roads but on a small scale. Also, the environmental impact of the construction activities (community infrastructure) is considered minimal. The required building material will potentially include stones, sand, concrete blocks and timber will be obtained from authorized quarries. Relevant ESF requirements will apply to any quarries determined to be either part of the project or an associated facility to the project. Air emissions: During the rural road rehabilitation phase, air emissions will include exhaust from heavy vehicles and machinery, and fugitive dust generated by works. Those most likely to be affected are people living within the proximity of the roads to be rehabilitated. Noise: During the rural road rehabilitation, noise might be generated from the use of construction machinery and vehicle movements. Waste management: Construction and Rehabilitation activities will generate solid waste which will primarily include excavated soil and hazardous waste such as hydrocarbon oils from construction machinery and vehicles. The waste generated by the construction works will be disposed of at approved sites. Pesticides: The project includes agriculture activities that aim at fostering agriculture productivity. That means the probability for chemical products use is not negligible. Knowing that the misuse of pesticides could lead to pollution, the Borrower will develop a Pest Management Plan (PMP). Water: Project beneficiaries are expected to be smallholder farmers and Agri-SMEs, each of which are individually unlikely to be significant users of water. During preparation, the project will assess the potential that cumulative use of water across all beneficiaries meets the ESS3 threshold for requiring a water balance assessment. GHGs: The project will promote climate smart agriculture and is therefore not anticipated to be a significant emitter of GHGs. The ESMF will include generic mitigation measures to avoid, minimize and manage risks and impacts related to ESS3 that will be reflected in the specific subprojects ESMPs.

ESS4 Community Health and Safety

The project will finance the development of some community infrastructure and rehabilitation of some rural roads, which may have negative risks and effects on the health, safety and security of the populations surrounding the work sites. The influx of workers into a project area can lead to adverse social impacts such as gender-based violence (GBV), sexual exploitation and abuse (SEA) or Sexual Harassment (SH) on local communities, especially if the communities are rural, remote or small as they are in the case of the rural road rehabilitation. The ESMF will include clauses to avoid, minimize, and mitigate any potential impact, including measures to address GBV/SEA risks. The project will operate in areas with security issues, especially in parts of North Kivu and the Kasai where armed groups have been or continue to operate. A security assessment will be carried out during project preparation and appropriate measures to protect workers and beneficiaries will be developed in an action plan. These security risks will need to be monitored as the project moves into implementation and chooses subproject sites for its operations. Site selection will be determined in part by availability of agriculture service providers and MONUSCO presence to enable project supervision by PIU. "Smart supervision" tools, including use of new monitoring technologies and third party monitoring will be used to address these risks.

ESS5 Land Acquisition, Restrictions on Land Use and Involuntary Resettlement

The project will focus on increasing productivity and access to markets for existing smallholder farmers and agri-MSMEs, presumably using their existing land. However, in the event that project activities lead some smallholders or the agri-MSMEs to seek to expand their activities and require additional land, this may put pressure on existing land



use and access arrangements in some densely populated areas. A Resettlement Policy Framework will be prepared prior to Bank Board Approval. This RPF will guide the preparation of subsequent Resettlement Action Plans, if needed, due to physical or economic dislocation of project affected persons.

ESS6 Biodiversity Conservation and Sustainable Management of Living Natural Resources

The Environmental and Social Assessment will determine the need to apply ESS6 in project areas that include significant biodiversity value. Early screening will be doing to improve project site selection so as to avoid selecting areas with high biodiversity values, such as critical or natural habitat, areas with high conservation values, those modified habitats that contain significant biodiversity value. Through the ESMF, the borrower will provide guidance on screening and mitigation measures to ensure that project activities related to agriculture and rural road rehabilitation do not alter or cause destruction of any critical or sensitive natural habitats. Subprojects with significant risks and/or adverse impacts on biodiversity and those that would need clearing of any type of forested land will be excluded of financing.

Furthermore, if the Borrower is purchasing natural resource commodities that are known to originate from areas where there is a risk of significant conversion or significant degradation of natural or critical habitats, the Borrower's environmental and social assessment will include an evaluation of the systems and verification practices used by the primary suppliers.

ESS7 Indigenous Peoples/Sub-Saharan African Historically Underserved Traditional Local Communities

Indigenous populations are present in at least two of the regions (Kasai and Eastern Region) where this project will initiate activities. An Indigenous Peoples Planning Framework will be prepared by Appraisal to ensure Indigenous Peoples are fully included in any project activities or benefits occurring where they live, and that any potential impacts on land used by IPs for traditional activities are addressed, including, where necessary, application of Free, Prior and Informed Consent (FPIC).

ESS8 Cultural Heritage

It is not expected that the project will disrupt cultural heritage. However, the project will finance some infrastructure works that will include excavation during implementation phase. Therefore the ESMF will include measures to confirm the existence of tangible or intangible cultural heritage and provide chance find procedures as well as any other requirements to protect and manage cultural heritage as required by national law and ESS 8.

ESS9 Financial Intermediaries

Current plans for this project do not include using financial intermediaries.

B.3 Other Relevant Project Risks

There are significant conflict and security risks in Kasai Central, due in part to recent influxes of Congolese returnees from Angola, and movements of other internally displaced persons (IDPs) due to intercommunity conflicts and the presence of armed groups. North Kivu (as well as immediately adjacent Ituri Province) also has conflict and security



risks from armed groups, as well as an Ebola epidemic which has continued to grow unabated since first identified in the province in mid-2018. A security assessment will need to be carried out for the project and appropriate measures to protect project workers and beneficiaries will be developed in an action plan. These risks will need to be monitored as the project moves into implementation and chooses subproject sites for its operations. Site selection will be determined in part by availability of agriculture service providers and MONUSCO presence to enable project supervision by PIU. "Smart supervision" tools, including use of new monitoring technologies and third party monitoring will be used to address these risks.

C. Legal Operational Policies that Apply

OP 7.50 Projects on International Waterways	TBD
At this stage information on activities related to waterway (transport, fishery) are not clear enough to allow the team to trigger this policy. It will be determined during project preparation.	
OP 7.60 Projects in Disputed Areas	No
The project will not involve disputed areas	

III. WORLD BANK ENVIRONMENTAL AND SOCIAL DUE DILIGENCE

A. Is a common approach being considered? No

Financing Partners

Not currently applicable.

B. Proposed Measures, Actions and Timing (Borrower's commitments)

Actions to be completed prior to Bank Board Approval:

Preparation and consultation of the following ESF instruments are expected prior to Bank Board Approval:

- Security Assessment and Action Plan
- GBV Risk Assessment and Action Plan
- Draft Environmental and Social Commitment Plan (ESCP)
- Draft Stakeholder Engagement Plan (SEP)
- Draft Environmental and Social Management Framework (ESMF)
- Draft Resettlement Policy Framework (RPF)
- Draft Indigenous Peoples Planning Framework (IPPF)
- Draft Pest Management Plan (PMP)
- Draft Labor Management Procedures (LMP)

Possible issues to be addressed in the Borrower Environmental and Social Commitment Plan (ESCP):

The ESCP will include measures to finalize the draft ESA Documents to be prepared project preparation.

Preparation and consultation of at least the following ESF instruments will be included in the ESCP:

- Security assessment and action plan



- Subproject-specific ESIA's and ESMP or ESMP stand-alone proportionate to the level of ES risks and impacts;
- Preparation of Resettlement Action Plans (RAPs) and Indigenous Peoples Plans (IPPs), where applicable;
- Finalization or updates of the LMP and/or SEP as needed;
- Measures to address GBV/SEA risks; and
- ESF capacity-building.

C. Timing

Tentative target date for preparing the Appraisal Stage ESRS

30-Jan-2020

IV. CONTACT POINTS

World Bank

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Borrower/Client/Recipient

Borrower: Democratic Republic of Congo

Implementing Agency(ies)

Implementing Agency: Ministry of Agriculture

V. FOR MORE INFORMATION CONTACT

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VI. APPROVAL

Task Team Leader(s):	Omar Lyasse, Diego Arias Carballo
Practice Manager (ENR/Social)	Africa Eshogba Olojoba Recommended on 26-Jul-2019 at 13:06:19 EDT
Safeguards Advisor ESSA	Surhid P. Gautam (SAESSA) Cleared on 14-Aug-2019 at 07:55:38 EDT

Public Disclosure