UT-REDD +

The National Environment Fund (FUNAB)

Consultancy Services for the Strategic Environmental and Social Assessment (SESA) under REDD+ financed by National Environment Fund (FUNAB)

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Draft Environmental and Social Management Framework (ESMF) for REDD+

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Synopsis: This document presents the consultant's draft ESMF Report for the Consultancy Services for the Strategic Environmental and Social Assessment (SESA) under REDD+ financed by National Environment Fund (FUNAB), for UT-REDD+.		
Aim of the Report: To present the Draft ESMF of the Strategic Environmental and Social Assessment of REDD+ in Mozambique		
Recommendation:		

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Acronyms

Acronym	Definition
CBD	Convention on Biological Diversity
CBNRM	Community Based Natural Resource Management
CC	Climate Change
CENACARTA	National Center for Cartography and Remote Sensing
CGRN	Natural Resources Management Committees
CITES	Convention on International Trade in Endangered Species
CF	Carbon Fund
COGEP	
COP	Conference of Parties
CT-CONDES	Councils of the National Technical Council for Sustainable Development
CTR	Technical Review Committee
DAIA	Department of Environmental Assessment
DAMMC	Department for Adaptation and Mitigation of Climate Change
DEA	Department of Environmental Education
DGA	Department of Environmental Management
DINAMB	National Directorate of Environment
DNAS	National Directorate for Agriculture and Silviculture
DNFFB	National Directorate of Forest and Wildlife
DNF	National Directorate of Forestry
DNOTR	National Directorate of Land Ordinance and Resettlement
DNT	National Directorate of Land
DNTF	National Directorate of Land & Forestry
DPADER	Provincial Directorate of Land, Environment and Rural Development

DUAT	Direito de Uso e Aproveitamento de Terra
EPDA	Pre-feasibility and Scoping Study
ESIAs	Environmental Social Impact Assessments
ESMF	Environmental Social Management Framework
FAO	Food and Agriculture Organization of the United Nations
FCPF	Forest Carbon Partnership Facility
FPIC	Free, Prior, and Informed Consent
FUNAB	National Environment Fund
GAP	Gender Action Plan
GDP	Gross Domestic Product
GHG	Greenhouse Gas
GoM	Government of Mozambique
GRP	Grievance Redress Panel
ICP	Informed Consultation and Participation
IFC	International Finance Corporation
MAEFP	Ministry of State Administration and Public Functions
MASA	Ministry of Agriculture and Food Security
MCT	Ministry of Culture and Tourism
MCTESTP	Ministry of Science, Technology, Higher and Technical Education
MDG	Millennium Development Goals
MEF	Ministry of Economy and Finance
MGCAS	Ministry of Gender, Children and Social Welfare
MIC	Ministry of Industry and Commerce
MICOA	Ministry for Coordination of Environmental Affairs
MINAG	Ministry of Agriculture and Forestry

MIREM	Ministry of Mineral Resources
MITADER	Ministry of Land, Environment and Rural Development
MITUR	Ministry of Tourism
MJACR	Ministry of Justice, Constitutional and Religious Affairs
MRV	Measurement Reporting and Verification
NASCCM	National Adaptation Strategy and Climate Change Mitigation
NGO	Non-governmental organisations
NIRAP	National Rhino and Ivory Action Plan
NTFP	Non-timber Forest Products
PRPMU	Provincial REDD Program Management Unit
PS	Performance Standards
QAM	Quality Assurance Monitor
REDD+	Reduction in Deforestation and Degradation
SAP	Stakeholder Action Plan
SDAE	District Services of Economic Activities
SEG	Socially Excluded Groups
SEP	Stakeholder Engagement Plan
SESA	Strategic Environmental and Social Assessment
SIS	Safeguards Information System
UNCCD	United Nations Convention to Combat Desertification
UNEP	United Nations Environment Program
UNFCCC	United Nations Framework Convention on Climate Change
UT-REDD	Technical Unit of REDD
VCDP	Vulnerable Community Development Plan
VCS	Verified Carbon Standard Association
VDC	Village Development Committee

Definitions

APD	Activities to Avoid Planned Deforestation (APD) are those activities that reduce GHG emissions by stopping or reducing deforestation on forest land that is both legally authorized (by relevant government authorities) and documented to be converted to non-forest land.
Deforestation	The direct, human induced conversion of forest to non-forest land
Degradation	The persistent reduction of canopy cover and/or carbon stocks in a forest due to human activities such as animal grazing, fuel-wood extraction, timber removal or other such activities, but which does not result in the conversion of forest to non-forest land (which would be classified as deforestation). For example, degradation occurs when trees are selectively cut and used for fuel-wood, but the area where the trees were removed still meets the definition of forest.
De Minimis	Carbon pools and GHG sources which do not have to be accounted for if together the omitted decrease in carbon stocks (in carbon pools) or increase in GHG emissions (from GHG sources) amounts to less than 5% of the total GHG benefit generated by the project
IFM Projects	Activities that reduce GHG emissions by protecting forests that would otherwise have been logged (or by protecting currently logged or degraded forests from further logging) are considered IFM Logged to Protected Forest (LtPF) projects. To qualify under IFM, the baseline logging activities must have been sanctioned by a national or local regulatory body (e.g. as a timber concession or plantation).
REDD Projects	Activities that stop unsanctioned and/or illegal degradation (e.g. through the removal of fuel-wood or timber).

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1 Introduction

1.1 Background to REDD+ in Mozambique

Reducing Emissions from Deforestation and Forest Degradation (REDD) is evolving as a means to create a financial value for the carbon stored in forests, offering incentives for developing countries to reduce emissions from forested lands and invest in low-carbon paths to sustainable development. REDD+ goes beyond deforestation and forest degradation, and includes the role of conservation, sustainable management of forests and enhancement of forest carbon stocks. REDD is also seen as delivering 'co-benefits' such as biodiversity conservation and poverty alleviation. REDD is being promoted strongly by the World Bank and UN as a means to set up the bases for the carbon market and the legal and governance frameworks of countries receiving REDD payments. Activities can be undertaken by national or local governments, NGOs, the private sector, or any combination of these.

The World Bank's Forest Carbon Partnership Facility (FCPF) is assisting the Government of Mozambique (GoM) with financial and technical support to develop and apply strategies to address the drivers of deforestation and forest degradation. The GoM is among countries participating in the preparation process of REDD+ and has been implementing its Readiness Plan for REDD+ (R-PP) since 2012. One of the goals of the R-PP was to prepare a REDD+ Strategy for Mozambique, which was originally drafted in 2013, and subsequently updated in 2014 and 2015 (Sitoe et al., 2013, 2014 and 2015). According to the Cancun Agreements, from the Conference of Parties (COP-16) meetings (2010), REDD+ encompasses actions which:

a) Reduce emissions from deforestation;
b) Reduce emissions from forest degradation;
c) Conserve forest carbon stocks;
d) Sustainably manage forests;
e) Enhance forest carbon stocks.

The GoM REDD+ strategies were still in draft stage and not fully developed at the time of writing this ESMF, but REDD+ strategies would have both positive and negative impacts on the bio-physical and socio-economc, socio-cultural environment. To identify potential impacts associated with REDD+, the GoM undertook a Strategic Environmental and Social Assessment (SESA). The SESA was undertaken through participative, transparent and comprehensive approaches (Scott Wilson 2016, SESA).

The scientific and social studies studies and stakeholder engagement undertaken for the SESA resulted in the identification of a variety of mitigation measures that could be implemented to minimize potential adverse REDD + project impacts and optimize positive impacts. An integral component of the SESA included developing an Environmental and Social Management Framework (ESMF) and a Resettlement Plan Framework (RPF): The RPF is presented under a separate document.

This ESMF is desgined to guide mitigation and monitoring programs developed and implemented for REDD + projects that may be implemented as part of the GOMs national strategy for REDD+. To accomplish this, the ESMF includes a Framework of Execution Regulations (FER), which identifies the national policies, laws, regulations and safeguards that provide the legal framework for implementing the ESMF. Through its implementation, this ESMF will help ensure consistency in the mitigation measures employed for the different strategy options, ensure they comply with state laws and regulations as well as achieve international best practices standards. This ESMF has been developed for the Technical Unit of REDD+ (UT-REDD+), funded through the National Environmental Fund (FUNAB) and financially supported by the World Bank Fund for Forest Partnership (FCPF), and was overseen by the Review Technical Committee (RTC).

1.2 Limitations and Objectives of the ESMF

At the time of writing this draft ESMF, the REDD+ Strategy for the GoM has yet to be finalized, creating a challenge for undertaking the SESA as well as preparing this ESMF. Without a strategy in place, there was nothing concrete in place to provide a clear focus for assessment or developing an environmental and social management framework. The proposed strategies were received by the SWMOZ Team in October, after the community and stakeholder process was complete. As such, the SWMOZ Team had to interpolate community and stakeholder sentiments, regarding the potential environmental and social impacts of the scenarios retroactively, based on general information received during consultations. Additionally, at the time of writing this draft ESMF the GoM was in the process of restructuring its ministries after the October 2014 general elections. Although this restructuring process was captured in the SESA, new policies and legislation that were just starting to be developed at the

time of writing the SESA will affect the implementation of the national strategy for REDD+ and are not captured in the SESA or this draft ESMF.

The changes to institutional structures, after the SESA had been underway for 6 months, created a challenge because there were no concrete scenarios in place during much of the earliest phases of the evaluation and stakeholder consultations. Additional mitigation strategies and monitoring responsibilities may be required to be developed after the REDD+ strategy is completed and adopted, and the GoM's new institutional structures are firmly established. In addition to updating the SESA after the REDD+ strategy is completed, and new institutional structures are in place, this ESMF should also be updated.

Firstly, the institutional structures and mechanisms for managing and implementing the ESMF will need to be embedded in those for managing and implementing the overall REDD+ strategy. We envisage that some initiatives under REDD+ will be national in orientation (e.g. harmonisation of legislation and policies, or provision of financial incentives); others may be undertaken at regional or landscape level, and yet others at Provincial or local level. It is not clear what mechanisms will be established for such interventions. For the first two categories, we assume that interventions will be proposed and managed at the national level. For Provincial and local-level interventions, we assume that proposals will be solicited and developed, screened, and then passed to the national level for consideration and approval. Given the uncertainties, however, those mechanisms that we suggest for the ESMF and for screening are tentative only.

Secondly, given that the content of the REDD+ Strategy is still to be determined, it is not possible to be certain about the types and location of projects likely to be proposed or initiated by government or other stakeholders to implement the strategy's objectives.

The objective of this ESMF is to provide a framework for effective management of environmental and social issues associated with implementing the proposed REDD+ strategy options. The framework is flexible and broad reaching and therefore can be applied to revised or additional strategy options that may be presented in the Final REDD+ Strategy for Mozambique.. In addition to adhering to GoM laws, policies, regulations and safeguards the document identifies relevant World Bank operational policies, and performance standards as they pertain to the bio-physical and socio-economic and socio-cultural environment, and other relevant international policies and standards (i.e., UNFCCC). Accordingly, this ESMF provides programmatic level guidance to help ensure international best practises are implemented when national, provincial and local policy level decisions are being made that may affect the bio-physical and social, economic and cultural environment.

Because the precise locations and potential impacts of future REDD+ related actions and projects are not yet known, and will not be identified prior to the appraisal of individual project proposals, this ESMF further provides the framework for conducting environmental impact assessments and environmental social impact assessments (EIAs and ESIAs) for project activities supported under the REDD+ strategy, as well as for developing environmental management plans and environmental social management plans (ESMPs).

The objective of this draft ESMF is to provide a framework for effective management of environmental and social issues in implementing the REDD+ Strategy. It seeks to both enhance environmental and social development benefits of REDD+ actions and projects and mitigate any adverse impacts, in line with both GOM laws, policies, regulations and safeguards for managing environmental and social issues related to development activities and World Bank and other relevant safeguard policies.

The draft ESMF discusses several elements that were outlined in the Terms of Reference (Tasks 10-11 in Appendix 1):

This ESMF discusses:

- Institutional arrangements for implementing the ESMF
- **Procedures and methodologies** for the environmental and social assessment, review, approval and implementation of interventions, activities/projects to be implemented under the REDD+ Strategy, including:
    - A ***screening process*** to determine: (a) which interventions/projects will likely have moderate or significant environmental and social impacts and which will therefore require an EIA or ESIA, and which will likely require other responses such as the preparation of a Resettlement Action Plans (RAP), Vulnerable Community Development Plan (VCDP) or Gender Action Plan (GAP); and (b) those interventions/projects which are environmentally and socially benign and can proceed to further consideration without an EIA/ESIA or supplemental response plans (RAP, VCDP, or GAP). Such screening will signal where potential environmental and social risks may arise and, through the assessment and response steps, trigger consideration of measures to avoid, minimise or mitigate them, as well as indicating where monitoring procedures of outcomes should particularly focus.

  - Guidance on conducting environmental and initial environmental assessments (IESE) and EIA/ESIAs, conducting scoping for EIA/ESIAs and identifying mitigation measures to prevent or minimise negative impacts.

- A mechanism for ***monitoring the environmental and social outcomes*** of implementing the REDD+ strategy and arrangements for relevant ***stakeholder participation*** in this process – which specifies appropriate ***roles and responsibilities***; and an outline of the necessary ***reporting procedures*** for managing and monitoring environmental and social concerns related to project implementation;

- Summaries of key GoM ***laws, policies and regulations*** and ***safeguards*** for managing environmental and social issues related to development activities and other safeguards (e.g. UNFCCC Cancun safeguards and World Bank safeguard policies); socio-economic status (SES) principles, standards and indicators.

To understand the level of EIA/ESIA and associated environmental management plans or environmental social management plans (EMP/ESMP) that may be required for proposed REDD+ projects, it is first essential to understand the REDD+ strategies. A screening tool which can be used to determine whether an EIA/EMP or ESIA/ESMP will be required for a proposed REDD+ project is provided in Annexure A. A Programmatic level screening form is provided as Annexure B, and would be applied to pilot projects and for changes to national policies, laws and reguations for the REDD+ Strategy. Preliminary environmental assesment forms required by the GoM to be completed for review and approval are provided in Annexures C and D.

Overall, this ESMF sets out the structures and procedures for undertaking environmental and social due diligence for REDD+ implementation. Figure 1 provides an overview of how the interlocking elements of the ESMF process relate to each other; these elements are described in the subsequent sections of this document.

Finally, an ESMF is a framework and can only address management issues at a broad scale. It cannot be more specific at this stage as the location and extent of projects to be implemented under REDD+ are not yet known. More detailed and focused management requirements to address environmental and social issues arising from specific and individual actions and projects to implement REDD+ will need to be dealt with under Environmental and Social Management Plans (ESMPs). The latter would be prepared through Environmental and Social Impact Assessments (ESIAs) of those activities/projects, where triggered by screening.

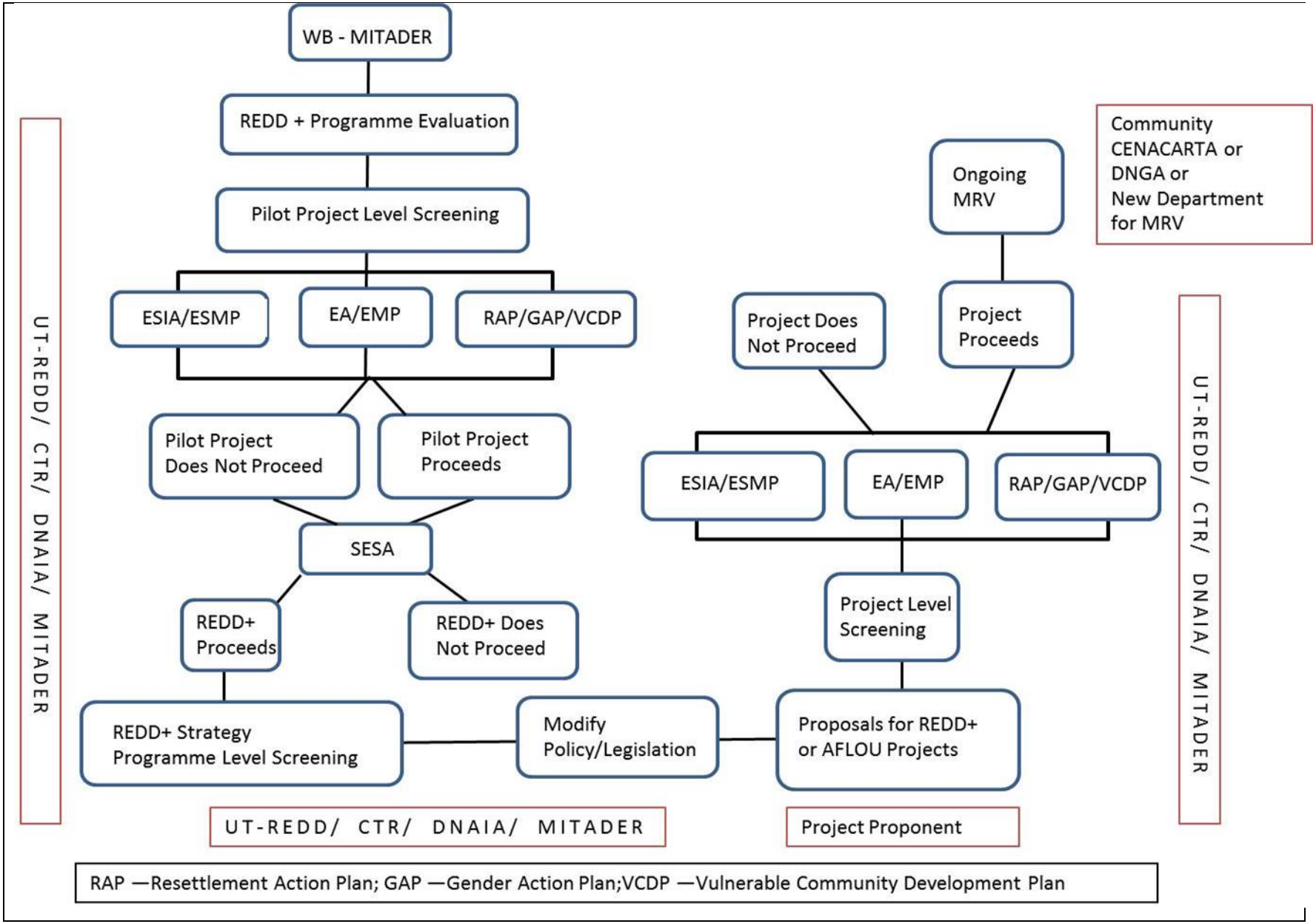

Figure 1 Flow Chart for ESMF Process

1.3 Methodology and proposed REDD+ Strategy Options

1.3.1 Methodology

Based on the findings of the SESA, SWMOZ developed this ESMF to address potential environmental and social impacts associated with the implementation of the proposed REDD+ strategy options. This included:

1. a review of public and stakeholder comments concerning the strategy as a whole, and each option in and of itself;
2. identifying the institutional framework that would provide oversight of REDD + strategy implementation;
3. identifying the laws, regulations and safguards that will guide implementation of this ESMF;
4. reviewing the EIA and ESIA process in Mozambique and as implemented for World Bank undertakings, and providing step by step guidance for undertaking an EIA and ESIA that meet GoM and World Bank requirements;
5. identifying current capacity to implement REDD+ sustainably in Mozambique, and making recommendations to build needed capacity;
6. identifying best practices and roles and responsibilities for supervising and monitoring REDD+ projects; and
7. identifying best practices reporting procedures for environmental and social management of REDD+ projects.

1.3.2 Proposed REDD+ Strategy Options for Mozambique

The draft REDD+ national strategy identifies a range of land use related and natural resource exploitation practices as the direct causes of deforestation and forest degradation. Despite these practices contributing to deforestation and forest degradation, they are also central to the rural economy and significantly contribute to the national economy. These practices are greatly influenced by limited technology, social and economic factors but also, and perhaps most significantly, by the weak institutional governance in sectors with direct or indirect impact on forest cover in Mozambique. Because of this, the strategy recognizes the need for combined and coordinated interventions that aim to:

A. Improve natural resource governance system;

B. Ensure economic and financial feasibility of the production process, transformation and utilization of goods and services in strategic sectors;

C. Provide and facilitate access to alternative technologies to prevent deforestation and forest degradation;

D. Integrate social and cultural interventions to reduce deforestation and forest degradation.

The national strategy identifies 6 strategic actions which address the factors outlined in A-D above, as illustrated in Table 1.

Table 1 Proposed REDD+ strategy options in Mozambique

Priority sector or strategic actions	Pillars (barriers)			
	Governance	Economic	Technology	Socio-cultural
Agriculture	• Implementation of ZEAN • Implementation of agrarian policies	• Commercialization system • Access to agriculture inputs	• Alternatives to itinerant agriculture	• Improve technology and access to markets
Energy	• Implement new and renewable energy policies	• Support low income communities' access to alternative clean energy • Support forest plantations for energy	• Increase access to alternative energy to biomass	• Capacity and promotion to support the use of alternative energy in urban areas
Conservation areas	• Enhance the management system of conservation areas	• Develop income generating activities within conservation areas	• Improve infrastructure and conservation areas management	• Community land use compatible with conservation
Sustainable forest management	• Apply sustainable forest management principles	• Reduce the impact of illegal logging and enhance the concession system	• Support access technology that add value to forest products	• Capacity building of forest workers and improve the relationship between concessionaries and communities
Forest plantation	• Improve business environment for forest plantations		• Provide support for plantations that are adequate with correct species, site and market	• Expand tree plantations
Cross-cutting	• Land use	• Set up an incentive	• Capacity	• Conduct

issues	planning • Adequate use of legislation and institutions to reduce deforestation and forest degradation	and taxation system that promote good practices of exploitation and use of natural resources	building on the use of alternative technologies to deforestation and forest degradation	awareness campaigns on forest conservation, tree plantation and alternative energy

For the purpose of the SESA the cross-cutting option was not evaluated because of the level of unknowns related to legislation and policy and economic reform issues; the remaining five (5) options were, however, evaluated (Table 2).

Table 2 Summary of proposed REDD+ strategic options and objectives

Strategic options	Strategic actions
Agriculture: Promote alternative practices to itinerant agriculture whilst ensuring increase in productivity of both subsistence and cash crops	**1.** Promote the adoption of sustainable agriculture practice using annual and perennial crops (cashew, coconut and macadamia); **2.** Intensify and promote agriculture; **3.** Divert commercial agriculture to non-forest areas; **4.** Promote agroforest systems that are appropriate for individual regions (agriculture or livestock with trees); **5.** Promote good practices of natural livestock grazing management and production of fodder
Energy: Increase access to alternative sources of biomass in urban areas and efficiency in the production and utilization of biomass energy	**1.** Promote sustainable production of biomass from natural forest (forest management for charcoal and firewood); **2.** Promote the setup of forest plantation for energy purposes; **3.** Promote sustainable use of biomass energy through the use of improved stoves; **4.** Expand the measure to promote other sources of renewable energy- wind, solar and biogas energy.
Conservation: Enhance the conservation system and adopt effective ways to generate income	**1.** Improve the management regime and protection of conservation in natural forest (parks, reserves and hunting concessions).
Sustainable forest management: Promote forest concession system with added value for forest products	**1.** Enhance sustainable forest management (forest concession of native forest) including community management of native forest; **2.** Promote and develop value chain of non-forest products
Forest plantations: Improve business environment for forest plantations and the relationship between companies and communities	**1.** promote the establishment of forest plantations in deforested or degraded areas or of a different cover than forest

2 The Legal and Institutional Framework for REDD+

2.1 Legal Framework

Mozambique's national policies, laws, legislation and safequards were reviewed to identify potential gaps that would need to be filled to ensure REDD+ could be implemented sustainably and with minimal impact to the bio-physical, socio-economic and socio-cultural environment. Additionally, international conventions/treaties to which the GoM is a signatory country were reviewed to identify the GoM's commitments to international standrards of environmental and social management. World Bank policies and performance standards which the GoM is committed to upholding were also reviewed.

Relevant national laws and legislation are summarized in Table 3; national strategies are summarized in Table 4; and international international conventions/treaties to which the GoM is a signatory country, and World Bank policies and performance standards are summarised in Table 5.

Table 3 National Mozambican legislation

Law or Legislation	Key Description
Constitution of the Republic of Mozambique, 1990	Guides environmental, social, health and safety policy and laws in Mozambique to protect the nation's citizens, help ensure their health, safety and security, rights to appreciate and enjoy nature and provide quality of life.
Law on the Protection of Cultural Heritage, Law No. 10/88 of December 22, 1988	The objective of this law is to ensure the legal protection of the tangible (e.g. archaeological and historical sites, sacred places, monuments) and intangible (e.g. traditional knowledge, indigenous language, craft skills) assets forming part of the cultural heritage of Mozambique.
Burial Regulations, Decree No. 42/90 of 29 December	This law provides legislation covering the exhumation and reburial of corpses in urban and rural areas.
Land Law, Law No. 19/97 - 1 October	As a universal means of wealth creation and social welfare, the use and enjoyment of land is the right of all Mozambicans. This Act established the terms for the establishment, exercise, modification, transfer and termination of rights of use and benefits of land. The Land Law confirms the Constitutional Principle of State ownership of all land and both ratifies and simplifies the processes of government allocations of State land.
Environment Frame Law, 1997	Mozambique's Constitution confers on every citizen the

	right to live in a balanced environment as well as the duty to defend this right. The law defines public rights, namely the right to information, education, and access to justice.
Forest Law and Wildlife Law, Law No. 10/99 of 7 of July; as amended	The objectives to be pursued under this Act are to protect, conserve, develop and rationally use sustainable forest and wildlife resources for the economic, social and ecological benefit of current and future generations of Mozambicans. This law applies to protection activities, storage, use, exploitation and production of forest and wildlife resources, and covers the marketing, transportation, storage and primary processing, trade or industrial applications of these resources.
Tourism Law, Law No. 4/2004 17 June 2004	This Law establishes the legal framework for promoting and carrying out tourism activities, while respecting the forest, faunal, mineral, archaeological and artistic heritage, which should be preserved and passed on to future generations. The tourism law promotes preservation of historical and cultural values, promotes national pride, and contributes to the harmonious and balanced development of the country. The law was established to promote the conservation of biodiversity and marine and land ecosystems.
New Labour Law, Law No. 2007; 11 May 2007	The new labour law protects the rights of children, pregnant women, women nursing babies, men and women with new born babies to have paternity/maternity leave. The law also stipulates provision of safety and security at work, and right to compensated medical aid for persons injured at work.
Territorial Planning Law, Law No. 17/2007 of 18 July	The Territorial Planning Law stipulates that expropriation for public interest gives rise to the payment of fairly calculated compensation in order to compensate for the loss of tangible and intangible goods and productive assets as well as the disruption of social cohesion. This is supported by Article 86 of the New Constitution of Mozambique on The Right of Eminent Domain, which states that individuals and entities have the right to equitable compensation for expropriated assets and the right to a new and equal plot of land.
Law on Spatial Planning and its Regulation, Law No. 2007/19	According to the Law of Spatial Planning and its Regulation, when necessary, the State can request and expropriate land under public interest - as in the case of economic development and construction of infrastructure. However, expropriation must be

	preceded by a statement of need of public interest in relation to the area to be expropriated, including the respective justifications. Right's holders of land to be expropriated shall receive a letter of notification that contains a copy of the declaration of the expropriation, or describe the goods to be expropriated.
Transportation Legislation, 2011	The provisions of this Code are applicable to transport on roads which are within the public ownership of the State, and on roads which are privately owned, when these are open for public transport.
Protection, Conservation and Sustainable use of Biological Diversity, Law no. 16/2014 of 20 of June	This law has as its main objective the establishment of the basic principles and norms for the protection, conservation, restoration and sustainable use of biological diversity in the conservation areas. The law is applicable for all groups of natural resources existing in the national territories and waters under national jurisdiction.
New Mining Law, Law No. 14/2002 of 26 June, mining law, as amended 20/2014 of 18 August	The Mining Law establishes the general principles for the use and exploitation of mineral resources, access to and the exercise of prospecting and research activities, development and production, processing and sale of mining products, including mineral water (and excluding hydrocarbons, which are subject to their own law). Mining operations have preferential use of the land, even if the land has been previously granted to a third party. However, a compensation scheme might be imposed if the use of the land for mining purposes imposes an economical limitation on the land. Should such compensation be settled, the holder of the mining rights cannot be stopped from carrying out any mining activity.

Table 4 National Strategies

National Strategy	Key Description
The Strategy and its Action Plan for the Conservation of Biological Diversity in Mozambique 2003-2010	The strategy was designed in order to define implementation mechanisms of the Convention on Biodiversity. This strategy identifies the challenges and priorities to reduce deforestation and the degradation of flora and fauna and the increase of carbon by introducing constant and flexible monitoring of ecosystem components and systems of the species; diversification of species exploited for production of wood to reduce the pressure in

	less than a dozen species of a set of more than one hundred; monitoring the use of firewood and charcoal; limitation of uncontrolled fires; promoting the replacement of native and exotic species commercially exploited in order to ensure the maintenance of currently reforested areas and prevent the spread of these; identification of multiple use zones of forest resources and design of integrated management plans, including non-timber forest products; creation of community systems to regulate and control the extraction of forest products timber and non-timber; facilitate the acquisition of inputs (through credit) for family farming; promote the link between the commercial and household sectors in land allocation; promote the development of agro-industries and export of cash crops; improving knowledge about genetically modified organisms and eradicate invasive species and ultimately strengthen the supervision and monitoring of the use of natural resources.
Agriculture and Natural Resources Strategy (2010)	The strategy focussed on the country's existing agricultural potential, in order to transform it into a source of wealth, improve the welfare of the population and enhance the socio-economic development of the country. The strategy also introduced measures to help protect natural resources, reduce deforestation and desertification, and reduce wildfires.
National Adaptation Strategy and Climate Change Mitigation (NASCCM) for the period 2013-2025.	The NASCCM includes an action plan for 2013-2014, and strategic and priority lines to adopt and implement for 2013-2025. Climate Change (CC), defined as changes in climate (in temperature and precipitation patterns) attributed to human activities and that are in addition to the natural variability of climate observed over comparable time periods, are a key factor in the development process and are recognized as the greatest risk to the achievement of development targets, especially for least developed countries. The primary objective of the NASCCM is to establish guidelines for action to build resilience, including reducing climate risk, communities and the national economy and promote the development of low carbon and green economy by their integration into the sector planning and local process. This strategy is designed to help achieve the objectives of the UNFCCC and UNCCD.
National Strategy for REDD +	Proposes a strategy for reducing the amount of Greenhouse gas emissions emitted in

	Mozambique; and the means of reducing deforestation and desertification, and evaluates the financial benefits to the nation's citizens of implementing REDD +, including selling carbon credits to industrialised countries such as the USA. This strategy is designed to help achieve the objectives of the UNFCCC and UNCCD.
National Rhino and Ivory Action Plan (NIRAP).	The key objective of the NIRAP is to step up the existing efforts to control the illegal rhino horn and ivory trade as well as elephant poaching in Mozambique though enhanced cooperation between different Government Agencies, increased cooperation with neighbouring countries and with the support of conservation partners. The NIRAP is designed to achieve the objectives of CITES.

Table 5 International Guidelines, Standards and Conventions to which Mozambique is a signatory party.

International guideline, standard, convention	Key Description
Equator Principles	The Equator Principles are based on the International Finance Corporation (IFC) Performance Standards on social and environmental sustainability, and on the World Bank Group's Environmental, Health and Safety general guidelines. The Equator Principles recognize that the Social and Environmental Assessment process provides the opportunity to determine the social and environmental impacts and risks of a proposed project in its area of influence.
World Bank and IFC Performance Standards (PS 1-8)	The World Bank's environmental and social safeguard policies are a cornerstone of its support to sustainable poverty reduction. The objective of these policies is to prevent and mitigate undue harm to people and their environment in the development process. These policies provide guidelines for bank and borrower staffs in the identification, preparation, and implementation of programs and projects. World Bank Performance Standards for conducting environmental, social impact assessments provide guidelines that help protect the natural, social, and cultural environment as well as help ensure the health and safety of workers and members of the community. World Bank Performance Standards on Social and Environmental Sustainability include: PS 1: Assessment and Management of Environmental and Social Risks and Impacts

	PS 2: Labour and Working Conditions PS 3: Resource Efficiency and Pollution Prevention PS 4: Community Health, Safety, and Security PS 5: Land Acquisition and Involuntary Resettlement PS 6: Biodiversity Conservation and Sustainable Management of Living Natural Resources PS 7: Indigenous Peoples PS 8: Cultural Heritage IFC Performance Standards closely parallel the World Banks PS 1-8.
Ramsar Convention on Wetlands	The Ramsar Convention, is an intergovernmental treaty that provides the framework for national action and international cooperation for "the conservation and wise use of all wetlands through local and national actions and international cooperation, as a contribution towards achieving sustainable development throughout the world".
The World Heritage Convention (WHC)	The WHC sets out the duties of States Parties in identifying potential sites and their role in protecting and preserving them. By signing the Convention, each country pledges to conserve not only the World Heritage sites situated on its territory, but also to protect its national heritage.
The International Convention on International Trade in Endangered Species (CITES)	CITES is a multilateral treaty to protect endangered plants and animals. Its aim is to ensure that international trade in specimens of wild animals and plants does not threaten the survival of the species in the wild, and it accords varying degrees of protection to more than 34,000 species of animals and plants.
Convention on the Conservation of Migratory Species of Wild Animals (also known as CMS or Bonn Convention)	The Bonn Convention aims to conserve terrestrial, aquatic and avian migratory species throughout their range. It is an intergovernmental treaty, concluded under the aegis of the United Nations Environment Programme, concerned with the conservation of wildlife and habitats on a global scale.
Agreement on the Action Plan for the Environmentally Sound Management of the Common Zambezi River System, 1987	The Governments of the Republic of Botswana, the People's Republic of Mozambique, the United Republic of Tanzania, the Republic of Zambia, and the Republic of Zimbabwe, are Parties to this Agreement. As a member country of the agreement, Mozambique has made a commitment to environmentally sound management of the Zambezi River, its tributaries and the aquifers that

	flow to the Zambezi River.
Kyoto Protocol, 1997 and UNFCCC, 1992	The Kyoto Protocol (1997) is an international agreement linked to the United Nations Framework Convention on Climate Change (UNFCCC, 1992), and binds countries that have ratified the protocol to reduce and ultimately cap their greenhouse gas emissions (GHGs). Although Mozambique has signed the UNFCCC, ratified the Kyoto Protocol and agreed to the Copenhagen Convention, as a developing country no binding targets to reduce GHGs have been established. However, the country has indicated its commitment to reducing GHGs.
The United Nations Convention to Combat Desertification (UNCCD) was adopted in June 1994 and entered into force on 26 December 1996.	The objective of this Convention is to combat desertification and mitigate the effects of drought in countries experiencing serious drought and/or desertification, particularly in Africa, through effective action at all levels, supported by international cooperation and partnership arrangements,
Convention for the Safeguarding of the Intangible Cultural Heritage is a UNESCO treaty adopted by the UNESCO General Conference on 17 October 2003.	Intangible cultural heritage refers to "traditions or living expressions inherited from our ancestors and passed on to our descendants, such as oral traditions, performing arts, social practices, rituals, festive events, knowledge and practices concerning nature and the universe or the knowledge and skills to produce traditional crafts" At the national level, State Parties are supposed to 'take necessary measures to ensure the safeguarding of the intangible cultural heritage present in its territory."

2.1.1 Summary of Legal Framework for REDD+

Mozambique has passed several laws and legislation and developed comprehensive strategies to protect and enhance the country's bio-physical and socio-economic environment. The country's laws, legislation or strategies that address the objectives of the international guidelines, standards and conventions to which the GoM is a signatory party is illustrated in Table 6 (with an x designation). Whilst laws, legislation etc., are in place in Mozambique for the sustainable management of the bio-physical and socio-economic/socio-cultural environment, an analysis of whether they were successfully implemented found that in many occasions they were not. This in part was due to a lack of funding and capacity at local, provincial and national levels, but was also associated with corruption. Building capacity and addressing corruption will be critical to the successful implementation of the REDD+ strategy.

Table 6 GAP Analysis of National Laws against International Guidelines and Conventions

Mozambique Legislation	International Conventions.									WB and IFC Performance Standards							
	Ramsar Convention, 1971	CITES, 1979	Bonn Convention	Convention on Biodiversity	UNFCCC	UNCCD	Convention, 1972	UNESCO IHC, 2003	Zambezi River	1	2	3	4	5	6	7	8
Mozambique's Constitution (1990)	x		x	x	x	x			x	x		x	x		x		x
Protection of Cultural Heritage (Law No. 10/88)							x	x		x							x
Burial Regulations (Decree No. 42/90)							x	x		x				x			x
Land Law (No. 19/97)							x	x		x				x			x
Environment Law (1997)	x		x	x	x	x			x	x		x	x		x		
Forest Law and Wildlife Law (Law No. 10/99)				x	x	x	x	x	x	x		x		x	x		x
Tourism Law (Law nr. 4/2004)							x	x		x	x				x		
Territorial Planning Law (17/2007)										x				x			
Law on Spatial Planning (2007)										x				x			
New Labour Law (2007)										x	x						
Biodiversity Cons. Strategy (2003-2010)	x	x	x	x	x	x			x	x		x		x	x		
Agriculture & Natural Resources Strategy (2010)				x		x				x					x		
Transportation Legislation (2011)										x							
New Mining Law (14/2002, and 20/2014)										x		x		x	x		

National Adap. Strat. CC Mitigation (2013-2025)	x		x	x	x	x				x		x			x		
National Rhino & Elephant Action Plan (2015-2016)		x		x					x	x					x		
National Strategy for REDD+ (2014)				x	x	x				x					x		
Protection, Conservation and Sustainable use of Biological Diversity (Law no. 16/2014)		x		x	x	x			x	x					x		

2.2 Institutional Framework for REDD+

This section presents relevant institutions for implementation of REDD+ in Mozambique. Much of the information provided under this section derives from the study report on "Análise do Quadro Legal e Institucional para a Implementação do REDD+" or "The Institutional and Legal Framework for the implementation of REDD+" (Beta & Nemus, 2015).

2.2.1 Government institutions relevant for REDD+

The main institutions relevant for REDD are Mozambique's environmental regulatory body, the Ministry of Land, Environment and Rural Development (MITADER); the Ministry of Agriculture and Food Security (MASA); the Ministry of Economy and Finance (MEF); the Environment Fund (FUNAB); and local government structures.

2.2.2 UT-REDD+

The activities related to REDD+ are coordinated by a technical unit installed within former DNGA now DINAMB (National Directorate of Environment), referred to as UT REDD+. The main responsibilities of the UT REDD+ include: i) ensuring proper fiduciary management (financial management and procurement); ii) overseeing the preparation and implementation of annual operating plans; iii) managing the project monitoring system (collecting and processing data and reporting, including through annual reports); v) ensuring compliance with the project legal agreements (including subsidiary agreements); vi) securing compliance with WB safeguards in collaboration with other entities implementing project activities; and vii) providing strategic communication for the project.

The UT-REDD is in turn monitored by a multi-ministerial committee (CTR – REDD+) comprised of technical representatives from MITADER, MASA, MCT, MIC, MGCAS, MIREME, EM, MSPA, MEF, as well as representatives of the private sector, environmental NGOs, research institutions and religious groups (designated by the Ministry of Justice). The multi-ministerial committee is principally coordinated by MITADER with the assistance of MASA, and oversees the activities of UT REDD+, suggests improvements in their work and checks the compliance of activities with national and international law. The proposed structure for monitoring REDD+ is presented below in Figure 2.

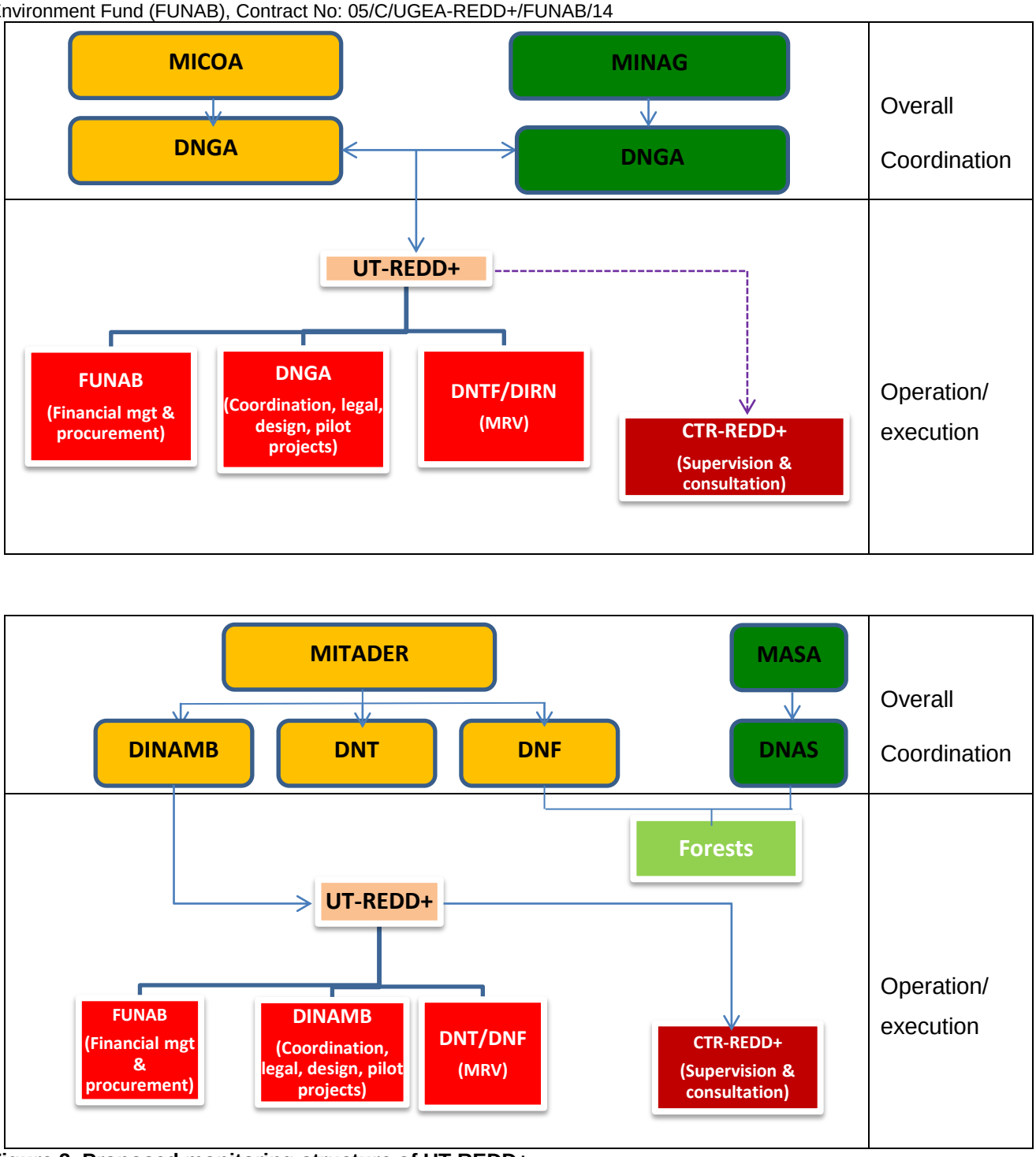

Figure 2 Proposed monitoring structure of UT REDD+

2.2.3 Summary of Institutional Gaps

The review of institutional roles in the implementation of REDD+ indicates that at present relevant expertise and responsibility for implementation are primarily confined to the national level, which will constrain the feasibility of implementing REDD+ on the ground. Aside from absence of proper implementation structures, there is a lack of human capacity and resources at the local level to successfully implement REDD+. Positions need to be developed at the provincial level for staff trained in all aspects of REDD+. At the time of this study, the institutional structure was an inverted pyramid with skilled contractors and government employees at the national level and no REDD+ trained employees or contractors at the provincial or local level.

The institutional framework study conducted for the SESA identified coordination, training, legal requirements, private sector and community participation as major challenges facing REDD+ implementation in Mozambique. Regarding coordination, there are structures that can be used for the coordination of REDD+ activities from the district level (District Advisory Board) to the Council of Ministers through the Provincial Councils, CONDES, etc., but there are currently no procedures in place for effectively directing the flow of information from national to local level and vice versa. Procedures need to be put in place to direct the flow of information within and between levels of government and the councils responsible for REDD+ implementation so that issues that need to be addressed at different levels of government can be achieved appropriately. Additionally, in order to help ensure consistency in REDD+ program implementation, consistent use of technicians to cover forest related and environmental issues at the provincial level should be considered.

With the recent changes in government ministries, cartographic mapping by responsible agencies in the country including CENACARTA will now be under the same ministry responsible for land use data, as well as land use planning, environmental impact assessment and resettlement (MITADER). It would be helpful to initiate a review of these sectors and begin to assimilate data to produce a common data base which is more comprehensive than the existing database. As REDD+ data (including those collected from the Monitoring, Reporting, Validation (MRV) process) is collected it should be undertaken with consideration of consistency in recording and collection procedures, database structure and management, and to the integration of a new, more comprehensive system of cartography.

At the time of writing this ESMF, MITADER is actively undergoing restructuring in the areas related to REDD+ implementation. The program was formerly overseen by the two ministries of environment and agriculture, and at present there is a tremendous need to define responsibilities within MITADER to:

1. Better ensure adequate dissemination of information pertaining to REDD+ within and between all levels of MITADER;

2. Help reduce the potential for redundancy in the work performed by different staff; and
3. Ensure that staff is adequately trained to implement approved REDD+ procedures.

Similar actions are needed at the provincial level to avoid duplication of resources and personnel. There is also a need to identify the sectors that will routinely monitor REDD+ activities, and to strengthen existing structures where similar activities were already taking place. At present, mandatory training of the provincial and local level technical staff that work with the national officers is not required. A training plan should be developed and implemented to ensure adequate transfer of knowledge to these technicians as they will ultimately be responsible for REDD+ activities at the provincial and local level. A Directive should be prepared, based on an approved REDD+ strategy that defines the structure and functioning of UT-REDD for the national, provincial and local levels and fits within the framework of the newly defined organizational structure of MITADER.

It was observed that private sector involvement in REDD+ initiatives, especially at the national level, is poor. We equally observed very limited knowledge among community members about the REDD+ program. This lack of early engagement has the potential to affect the design and implementation of REDD+ in Mozambique especially on matters such as rights of communities and incentives (fiscal or non-fiscal) for private sector participation.

As noted in the gap analysis of the country's legal framework, corruption presents a significant problem to the successful implementation of REDD+. In some instances, when politicians have a vested interest in an illegal activity (such as illegal logging) that may harm the bio-physical or social environment, the law is not enforced as designed because he/she can manipulate the system to his/her benefit. An anti-corruption campaign and adherence to anti-corruption are needed for successful implementation of REDD+ ; at present, enforcement of key laws designed to protect forests and the environment is weak.

2.3 Recommended Institutional Structure for Implementing this ESMF for REDD

Implementation of the REDD+ Strategy will require that appropriate and effective institutional structures and management mechanisms are in place at national, regional, Provincial and local levels. It is assumed that, wherever possible, existing structures and mechanisms will be harnessed, and strengthened where necessary, but some new ones may also be needed. There may also be a need to amend, harmonise, or even introduce new legislation, policies, rules and regulations to enable effective implementation of the strategy. None of this is yet known given that the REDD+ strategy has not yet been completed. As an interim measure, we have linked our recommendations to the institutional structures indicated in the "Análise do Quadro Legal e Institucional para a Implementação do REDD+" or "The Institutional and Legal Framework for the implementation of REDD+" (Beta & Nemus, 2015).

2.3.1 Technical Unit of REDD + (UT REDD+) and CTR REDD+

The proposed members of the CTR-REDD + assigned to oversee UT REDD + activities, per Article 9 and 10 of the Decree 70/2013, are listed in Table 7. This committee will be co-coordinated by MITADER and MINAG, and in addition to providing oversight the CTR will make suggestions for improvements in their work and check the compliance of activities with national and international law.

Table 7 Proposed Positions for CTR REDD+ per Decree 70/2013*

No.	Position
2	Technicians from MITADER
2	Technicians from Ministry of Agriculture (MINAG) (now Ministry of Agriculture and Food Security (MASA)
2	Technicians from Ministry of Tourism (MITUR) (now MCT (Ministry of Culture and Tourism))
1	Technician from Ministry of Industry and Commerce (MIC)
	Technician from Ministry of Women and Social Affairs (MMAS) (now Ministry of Gender, Children and Social Welfare (MGCAS)
1	Technician from Ministry of Mineral Resources (MIREM)
1	Technician from Ministry of Energy (ME)
1	Technician Ministry of Planning and Development (MPD) (now is joined with Ministry of Finance – Ministry of Economy and Finance (MEF)
1	Technician Ministry of State Administration (MAE) now Ministry of State Administration and Public Functions (MAEFP)
1	Technician Ministry of Finance (MF) (Now it is Ministry of Economy and Finance (MEF))
2	Representatives of the private sector (designated by MIC)
3	Representatives of environmental NGOs (appointed by MITADER)
3	Representatives of religious denominations (designated by Ministry of Justice (MJ) (now Ministry of Justice, Constitutional and Religous Affairs (MJACR)
3	Representatives of research institutions (designated by Ministry of Science and Technology MCT) (now Ministry of Science, Technology, Higher and Technical Education (MCTESTP)

*To date, none of these positions have been filled (January 15, 2016).

In February 2015, the new government of Mozambique changed some ministries and merged others, and the CTR REDD+ positions suggested in Table 7, as per the Decree 70/2013, needs to be updated to reflect these changes.

In accordance with the Decree 70/2013, the responsibility of coordination of activities related to REDD+ projects were to be distributed between the National Environmental Management Directorate (formerly of MICOA) and National Directorate of Forests and Wildlife (formerly of MINAG). With the change in government structure, some activities under MINAG have been absorbed by MITADER, and thus this coordination will now be fully undertaken by MITADER.

According to the Presidential Decree paragraph 1/2015 of 16 January, part of the National Land and Forestry Department, CENACARTA, the Training Institute for Land and Cartography Administration

(INFATEC) and the National Directorate for the Promotion of Rural Development (former MAE) move to the new MITADER. ANAC, formerly under the Ministry of Tourism also falls under MITADER.

Under the 2015 government restructuring, the National Directorate of Environment (DINAMB) is responsible for environmental and social issues (safeguards) of REDD+ projects, whilst the National Directorate of Forests (DNF) and the National Directorates of Land (DNT) are responsible for the scientific and technical aspects of the projects, including the inventory of land and forest, allocation of these resources to those needing land, and registering lands and forests in the National Register.

Within MITADER, in addition to the DINAMB, for proper implementation of REDD + there is a need for intersectoral coordination between the Department Environmental Impact Assessment (DAIA), National Directorate Land Ordinance and Resettlement (DNOTR) and the Department of Environmental Education (DEA). The DAIA is responsible for oversight of the environmental impact assessments (EIA) undertaken for all new projects; DNOTR is responsible for permission for planning; and DEA is responsible for environmental awareness and dissemination of environmental information.

Within the Forestry Directorate (DNF) of MITADER, in addition to Directorate of Agriculture and Silviculture (DNAS) in MASA, for proper implementation of REDD+ there is need for coordination with the Department of Natural Resources, National Centre for Cartography and Remote Sensing (CENACARTA) and the Land Directorate. DNF among others is responsible for the collection, compilation and management of information on natural resources. CENACARTA is responsible for mapping and coverage of land use. The Land Directorate is responsible for the allocation of land for different uses and users, and for issuing DUAT certificates to the private sector as well as for local communities.

Article 7 of Decree 70/2013, authorizes MASA and MITADER to establish the structure and responsibilities of the UT-REDD+ body by ministerial diploma. As of the time of writing this report, this has not yet been developed. As such, the current structures of REDD+ do not differ much from what was proposed in the draft REDD+ strategy (Figure 3).

Table 8 summarizes additional institutional capacity building and training for REDD+ implementation, and Table 9 presents the possible institutional arrangements and responsibilities for ESMF implementation.

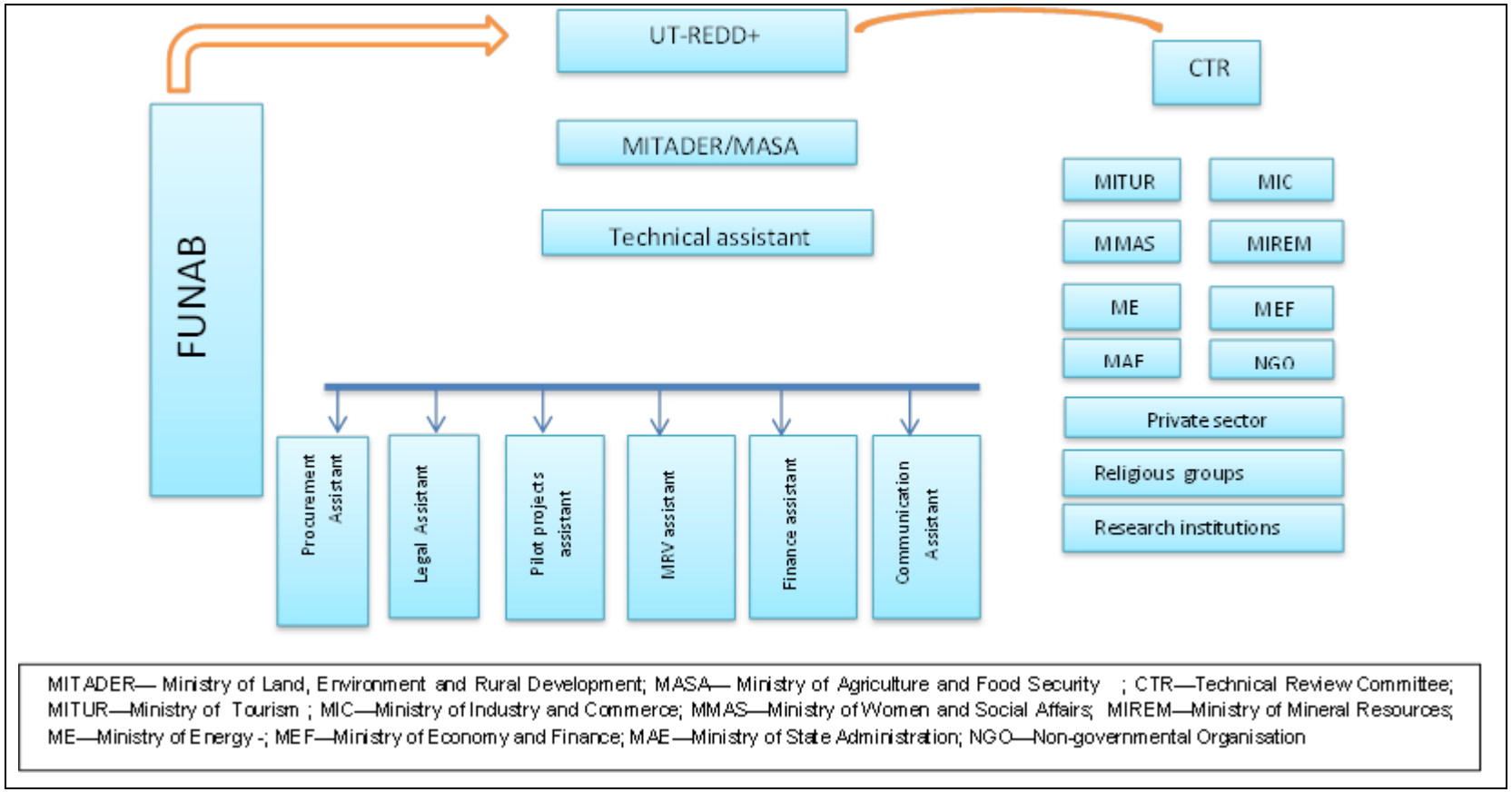

Figure 3 Existing Structure of UT-REDD+ (January 2016)

Table 8 Additional institutional capacity building and training for REDD+ implementation

Institution	Required capacity enhancement	Training needs
Ministry of Land, Environment and Rural Development (MITADER)		
National Directorate for Forest and National Directorate for Land (Direcção Nacional de Florestas (DNF) e Direcção Nacional de Terras (DNT))		
Socioeconomics	Ensure appointment of staff dedicated to addressing social aspects of ESMF implementation (including gender issues, cultural resource issues, social-psychological issues, and economic and political issues)	• Existing Directorate staff needs technical training to play their role in implementing the ESMF.
	Several staff within both Directorates have been trained in agricultural and forest management policies and procedures, but it is unknown how many of these have been trained in REDD+ policies and/or strategies. Training is needed at the national and provincial level to adequately implement the program. In addition to increasing the number of staff within these agencies, training in specialized subjects such as resource assessment, strategic planning is needed.	• The Training Unit in DNF should co-ordinate directly with DINAMB for all REDD+ related training activities (through training-of-trainers) – on proposal development under strategy options, impact assessment and how the ESMF system will work.
National Directorate of Territory Ordinance and Resettlement (DNOTR)		
	Staff has a physical planning background. Some have responsibility for environment-related work such as IESE and ESIA, and they will need allocated budget and time to support implementation of the ESMF	• Technical training to support implementation of the ESMF. • Training on emerging social and gender related issues.
National Directorate of Environment (Direcção Nacional do Ambiente) DINAMB		

Department of Environmental Management (DGA) ***Department of Environmental Impact Assessment (DAIA)*** ***Department of Environmental Education (DEA)***	• Several staff within DGA have been trained in agricultural and forest management policies and procedures, but it is unknown how many of these have been trained in REDD + policies and/or strategies. Training is needed at the national and provincial level to adequately implement the program. In addition to increasing the number of staff within these agencies, training in specialized subjects such as carbon assessment, and strategic planning is needed. • A section with responsibility for social concerns is needed within MITADER to support implementation of ESMF, particularly to work on the issues related to gender, and poor, disadvantaged and marginalized groups and communities. • Staff is qualified to support the implementation of the environmental aspects of ESMF at national, regional and district levels. But they will require a budget allocation for such work and time to be made available in the work schedules. • The directorate currently lacks skills on social issues. The establishment of a section with such responsibilities would help	• Training on the specifics and modalities of the ESMF • At least one member of staff (preferably more) will need to be trained on emerging social and gender related issues linked to the environment, and to REDD+ • Existing DINAMB staff needs technical training to play their role in implementing the ESMF. • The Training Unit in all departments should co-ordinate directly with DNTF for all REDD+ related training activities (through training-of-trainers) – on proposal development under strategy options, impact assessment and how the ESMF system will work.

Proposed MRV unit	• Establish a formal unit within the REDD+ Coordinating Division to coordinate all environmental and social assessment and monitoring process related to REDD+. • The Head of the MRV unit should be appointed at Under Secretary level, and have a technical background (preferably either an environmental or social qualification) • There should be 4 other positions covering: environment, social & gender (both with an impact assessment background) and forestry • Additional temporary positions can be filled when activities arising for particular sectors arise (e.g. agriculture, infrastructure, energy, etc) so that the MRV unit is taken seriously when liaising with line agencies. • An independent Review Committee could support the work of the MRV unit	• MRV officers should receive training on: (a) International and national obligations of REDD+; (b) environmental and social benefits/risks of REDD+; (c) preparation and review of screening reports, and making recommendations for appropriate studies; (d) process and procedures of environmental and social assessments – ESIA, IESE, GAP, RAP, VCDP etc; (e) monitoring and evaluation of REDD+ • Liaison with MASA Training Unit to coordinate all ESMF-related training • The MRV unit will need to prepare training manuals for particular procedures for ESMF activities
Other		
National Administration of Conservation Areas (ANAC)	• A social Development Officer will need to be appointed to deal with social aspects of REDD+.	• Officers working on environment and social issues should receive training on the implementation modalities of ESMF.
Ministry of Agriculture & Food Security (MASA)		
Directorate of Agriculture and Silviculture (DNAS)		

Directorate of Agriculture and Silviculture (DNAS)	• An officer should be appointed with an environmental qualification and background, and knowledge on emerging environmental issues associated with agro-forestry • An officer with responsibility for social concerns is needed to support implementation of ESMF, particularly to work on the issues related to gender, and poor, disadvantaged and marginalized groups and communities. • DNAS will require a budget allocation for implementing the ESMF and time needs to be made available in work schedules.	• Training on the specifics and modalities of the ESMF • At least one member of staff (preferably more) will need to be trained on emerging social and gender related issues linked to the environment, and to REDD+
Ministry of Energy (MoE)		
Environment Section	• An environment officer and a social development officer should be appointed in with responsibility to coordinate support and inputs to implementing the ESMF, and a budget allocation made. • Consideration should be given to establishing a social section.	• Technical training on ESMF implementation
Ministry of State Administration and Public Affairs		
Environment & Social Section	• An Environmental and Social Section needs to be established but it also requires adequate time and budget resources.	• Technical training to engage in and support ESMF implementation
District level		

District Services of Economic Activities (SDAE)	• SDAE officers are focused mainly on other activities, including environment, e.g. land planning, economic activities, agriculture etc., but not as yet promotion of alternatives to forest use. • All SDAE will need at least one Environment Officer to handle ESMF requirements. • Whilst Social Development Sections of SDAE are fully occupied in implementing their own internal programmes, they could handle the social issues related to REDD+. But staff of both sections will require budget allocations and time being dedicated for such activities, particularly the screening and monitoring ESMF- REDD+ projects/activities. As part of the SDAE (the apex body within the district), these Sections can provide coordination as regards REDD+ projects/activities with other government offices at district level	•Staff of SDAE will need technical training on the ESMF
Provincial REDD+ Program Management Unit (PRPMU) (proposed in the Strategy)	• Each PRPMU needs 2 dedicated staff: one with an environmental background/qualification; one with a social background/qualification	• Technical training on SESA and ESMF
Agriculture Extension Officers	• The coverage by these officers is inadequate. • Each of the listed district organisations can contribute to the ESMF with minimal added skills. But they have heavy workloads and limited time	• Technical training on ESMF
Local level		
Others		
Consultants		• Capacity-building to prepare RAPs, VCDPs and GAPs

Private sector	• General awareness-raising on REDD+, and specifically on environmental and social issues related to REDD+ will be required for the following:	• Need motivating to engage in REDD+ related activities, and sensitising to environmental and social dimensions
NGOs/CBOs	• Engaged in social mobilisation	• Training on how to engage in ESMF procedures – outreach work, and doing independent monitoring of projects, and to mobilise communities to undertake self- monitoring).

Table 9 Possible institutional arrangements and responsibilities for ESMF implementation

Level	Institution	Responsibilities
National level	UT REDD+ and CTR REDD +	• Screening of REDD+ activities at national level • Liaison with MITADER, DINAMB, DNOTR, DEA for ESIA procedure • Liaison with other relevant ministry and institutions for RAP, VCDP, GAP. • Monitoring and evaluation • Act as Member Secretary to a Grievance Redressal Mechanism for national/regional REDD+ projects/activities, and facilitate the tabling of grievances by affected parties. • Information management system • Capacity building • Coordinating mechanism – to align work on environmental and social issues related to REDD+ implementation. • Assessment & Monitoring Advisory Group • Coordination with REDD+ Working Group (through REDD+ Coord, Div)
Provincial level	Environmental and social section within Provincial REDD+ Program Management Unit (PRPMU)	• Screening of sub-projects at Provincial and local level • Capacity building of local stakeholders • Support/facilitate stakeholders • Monitoring and evaluation • Act as Member Secretary to a Grievance Redressal Mechanism for Provincial and local REDD+ projects/activities, and facilitate the tabling of grievances by affected parties. • Reporting to MRV unit • Liaison with Provincial REDD+ Working Group
Local level	COGEP (Conselho Participativo de Gestao de recursos naturais) natural resource management) District Consultative Council	• Informing people of REDD+ programs • Motivating local communities to develop projects • Helping in proposal writing, including completing required environment and social screening information • Assisting and facilitating environmental and social assessment, when required; • Monitoring of REDD+ projects • Facilitate tabling grievances to the Provincial-level grievance redressal mechanism

Social accountability will need to be strengthened through an effective Grievance Redressal Mechanism. In Mozambique this is an existing mechanism whereby anyone with any grievances can raise them at first to the village chief (regulo) or village secretary (secretario de vila); then Head of Post (Chefe do Poste); Consultative Council (Conselho Consultivo), District Administrator (Administrado Distrital) and finally to court (Tribunal). If communities feel their grievances are not adequately addressed, they have the option to go up to Provincial level or still further, national level.

It is assumed that overall REDD+ Strategy implementation will include the establishing of an overall ***Information Management System***. It is further assumed that this system will also incorporate a Safeguards Information System (SIS) requested under UNFCCC agreements.

Liaison will also be necessary with all relevant ***stakeholders*** (through UT REDD+). Consideration will need to be given to the membership of this body to ensure that it adequately reflects all relevant stakeholders – from government, private sector and civil society.

There may be merit in establishing an ***Assessment and Monitoring Advisory Group*** to provide advice/guidance to the MRV unit, and help with training – particularly in the first 2-3 years of its operation. Such a Group would include professional experts with experience of environmental and social assessment and monitoring in Mozambique

2.3.2 Provincial Level REDD+ Projects

It is assumed the majority of proposals for project-level activities to implement REDD+ will be solicited at the Provincial level. These will need to be screened: for their suitability to receive REDD+ financial support; for their compliance with REDD+ strategy objectives and focus areas; and particularly for their likely environmental and social impacts (both positive and negative). Given the complexity and diversity of environmental and socio-cultural conditions in Mozambique, and the likely high volume of proposals that may be forthcoming, it would make sense for such screening (at least preliminary screening) to be carried out at Provincial level, even if final approval is given at national level.

During the SWMOZ Team's consultations with Provincial authorities and stakeholders, it became clear that an independent, inclusive Joint REDD+ Consultative Body needs to be established consisting of experts, officials and others from: (a) Provincial level related government line agencies, (b) MITADER, DINAMB, DNF, DNT, etc., and (c) civil society, media, and, civil organisations including women's groups. Such a group could meet regularly (e.g., quarterly) to discuss REDD+ progress, proposals in the pipeline, progress and outcomes. These bodies could be linked as a national network to facilitate communication and learning and build on the experience of the existing REDD+ network of REDD pilots.

In this draft ESMF, it is recommended that, in order to carry out ***environmental and social screening*** of proposed REDD+ activities, each Provincial REDD+ Programme Management Unit will need strengthening with two staff: one with environmental and another with social technical expertise. Recommendations for their training are discussed in Section 4.3.

Provincial Management Plans should be prepared so that they support REDD+ and incorporate

planned REDD+ projects.

2.3.3 Local Level Redd+ Projects

At the local level, Village Development Committees (VDCs) can play an important role in monitoring the implementation and outcomes of individual REDD+ projects, but working in an integrated manner. Their roles would be:

- Informing people of REDD+ programmes and motivating local communities to develop projects – helping in proposal writing, including completing required environment and social screening information;
- Assisting and facilitating the subsequent process of environmental and social assessment, when required;
- Undertaking environmental and social monitoring of REDD+ projects and verifying self-monitoring undertaken by project implementers.

In addition, the VDC can facilitate tabling grievances to the Provincial-level grievance redressal mechanism.

3 Overview of REDD+ Strategy Options for Mozambique

The REDD+ national strategy seeks to reduce CO_2 emissions from deforestation and forest degradation and secure sustainable management of forests, forests conservation and enhance carbon stocks and reduce GHGs, as defined by UNFCCC COP 16. . The draft strategy options are designed to address priority drivers of deforestation and degradation identified, namely, subsistence farming (itinerant farming), urban and infrastructure expansion, wood and forest products exploitation, firewood and charcoal production, commercial agriculture, livestock and mining activities.

3.1 Proposed REDD+ Strategy Options

In the following sections brief background information is presented under each of the proposed REDD+ national strategy options to provide a context for the evaluation of these options. This background information is derived from a combination of literature review, results from stakeholders' consultations and evidences from project site-visits in Cabo Delgado, Zambézia, and Gaza provinces. A more detailed description of the options is provided in the SESA (SWMOZ 2015), and the draft strategy (Sitoe et al. 2015).

3.1.1 OPTION 1: Promoting alternative practices to itinerant agriculture

In order to reduce deforestation and degradation resulting from agriculture activities, the REDD+ national strategy intends to promote sustainable agriculture through diverting commercial agriculture into non-forest areas, agro-forest systems adapted to each region, and best practices of livestock and pasture management.

3.1.1.1 Subsistence and commercial farming

Agriculture is the most important economic activity in Mozambique. About 80% of Mozambicans report agriculture as a livelihood and the sector comprises 29% of the country's GDP (World Bank 2013). There about four million smallholder farming families in the sector; the majority growing food crops of which approximately 66% is for consumption and 16% are cash crops.

Slash-and-burn or shifting cultivation is the traditional agricultural system practiced widely in tropical moist forests and deciduous woodlands, and also in northern and other parts of Mozambique. It is often perceived as degrading and destructive and should be stopped. However recent research suggests that recovery of the natural miombo forest takes place faster than originally thought as the rootstocks of the trees remain in the ground in this type of cultivation, and hence regrowth can take place. (Geldenhuys, 2015)

3.1.1.2 Conservation agriculture (CA)

The FAO defines three broad principles that make up CA: minimum or reduced soil disturbance, maintaining a permanent soil residue or vegetative cover, and crop rotations or intercropping with legumes (FAO, 2002). It is associated with the reduction in labor requirement for land preparation, improved soil fertility and improved water stress in crops, making it vital in the context of regional impacts of climate change which is marked by increased temperatures and erratic rainfall.

Though CA appears to be relatively a new development its practice dates back to mid-90s when Mozambique introduced it with the view of increasing smallholder productivity, minimizing soil erosion, increasing soil fertility and improving drought tolerance. Since then, there has been a surge of multiple CA projects implemented by government, Non-Governmental Organisations (NGOs) and international development institutions across different agro-ecological conditions.

Two sites were visited, as part of the fieldwork undertaken for this SESA, with recent experience in implementing CA projects, one having been implemented by the Agha Khan Foundation (AKF) in the Quirimbas National Park (QNP) and another by IGF Foundation in the Gilé National Reserve (GNR).

3.1.1.3 Introduction of perennial crops

Some of the perennial crops (especially coconut, cashew and tea) indicated in the proposed REDD+ national strategy are not entirely a new development in Mozambique. They date back to the 1960s or 1970s when these crops were introduced under the colonial rule. The inclusion of perennial crops in the REDD+ strategy is largely associated with climate change mitigation through carbon sequestration, but also because of the ability of perennial crops to provide timber and non-timber products which are important to communities.

3.1.2 Option 2: Energy

The proposed REDD+ national strategy establishes the promotion of alternative sources of energy to biomass in urban areas and efficient utilization of biomass as the second strategy option. This option envisages the promotion of improved and efficient cook stoves.

3.1.2.1 Firewood and charcoal production

The Global Alliance for Clean Cook Stoves estimate that wood fuel emissions alone are equivalent to approximately 25% of global emissions from deforestation in the tropics. If wood fuel is unsustainably harvested, increased wood fuel consumption is likely to lead to localized degradation of forest.

The relationship between firewood, charcoal production and deforestation and degradation in Mozambique has been widely examined (see Sitoe et al., 2007). Large amounts of fuel wood (firewood and charcoal) are collected in the woodlands. Wood is used in most rural households to cook food, and different dimensions of wood are used to cook different types of food.

Observations from fieldwork suggest charcoal production has a lesser impact on Miombo woodland than slash-and-burn agriculture, with the major impact at the site where the pile of wood is burnt. In the surrounding area most of the larger trees may have been removed and regrow vegetatively, with smaller trees not cut. Sometimes these charcoal production sites are the initial step for preparation of a slash & burn site. General observation suggests that there is room for better utilization of the cut trees (such as for charcoal production) in site preparation for crop cultivation. However, the burning of the branches and stems left on site after stand clearing for crop cultivation is important to release the nutrients that are needed for productive crops.

The socioeconomic role of charcoal and firewood production is undeniable. Thousands of household have this activity as their means of livelihood across the country. This is even relevant for households in areas where food production is challenging due to agro-ecological situation, especially in the southern region of Mozambique.

The social and environmental impacts of charcoal production are widely documented and these impacts range from health issues of producers relating to air pollution, GHG emission, deforestation and depletion of woodland, gender and labor issues.

Thus, addressing sustainability issues (social and environmental) relating to charcoal production should consider important key steps in the value chain- the site where forest resources for charcoal production are derived (step 1); the actual process of charcoal production (step 2); the transportation process (step 3) and the end user (step 4). Using criteria such as GHG balance; biodiversity; food production, local prosperity and level of welfare, the table above provides important insights into possible aspects to take into account if the proposed strategy option of introducing sustainable production of charcoal is accepted. This framework will be further used to derive major socioeconomic and environmental issues associated with the option under section “assessment of results”.

3.1.2.2 Forest plantations for energy production

The REDD+ national strategy envisages as part of its broader strategic option 2 to promote forest plantation for energy production, i.e. firewood and charcoal, as there is much deforestation taking place to supply fuel needs of people, mostly in urban areas. Like other proposed strategic options, promoting forest plantations for energy dates back to colonial periods. In the 1920s the first forest department was established and it was during this period when the Marracuene and Limpopo wood fuel plantations were first established.

3.1.2.3 Sustainable use of biomass, improved and efficient cookstoves

Another important component of the strategy option 2 is the use of the sustainable use of biomass through the introduction of efficient and improved cookstoves as discussed previously.

3.1.3 Option area 3- Conservation areas

The REDD+ national strategy option 3 proposes that conservation areas be enhanced and generate income for communities. According to this strategy, this would encompass improvements of the management regime and protection of conservation areas with natural forest, including parks, reserves and game hunting. This section presents the current situation of land use practices impacting on the forest cover on the ground as noted in reports and published literature, observations on the ground during field trips and views aired by stakeholders during fieldwork.

3.1.3.1 Protected areas, from National Parks to Nature reserves to Forest reserves

National Parks, designed purely for the protection of nature, are managed by the Department of Conservation Areas of the Ministry of Tourism. No resources may be extracted and no settlements are allowed within this category. Many of the parks are co-managed with international funding, e.g. Gorongosa NP which is jointly managed with the Gorongosa Restoration Project.

3.1.4 Option 4 – Sustainable Forest Management

The REDD+ national strategy envisages promoting the forest concession system with value added to the forest products. This involves enhancing sustainable forest management (including forest concessions of native forest) and promoting development of value chain of non-timber forest products (NTFP). Forest production in Mozambique is divided in two major activities: (i) exploitation of native forest, based on selective trees cut under a long term concession regime (up to 50 years) or simple or short-term licenses (up to 5 years); (ii) forest plantations focusing on production of exotic trees for timber and non-timber products.

3.1.4.1 Timber concessions

Timber concessions are managed by the Department of Forestry and Wildlife and generally allocated to private operators under long-term timber concessions or annual licenses, but local communities are also eligible. Timber concession management is based on single-tree timber harvesting, minimum tree size limits for cutting timber species, planting to replace harvested trees, but no silvicultural management.

3.1.5 Option Area 5 – Business Environment for Forest Plantation

The REDD+ national strategy has as one of its strategic options the improvement of the business environment for forest plantations, including the day-to-day relationship between the forest companies

and local communities. More specifically, the option includes the facilitation for forest companies to establish their business in deforested and degraded areas or with other non-forest cover.

In Mozambique there are two different systems are used to grow wood with introduced tree species: (i) large-scale commercial forestry plantations for poles, pulpwood and saw timber products; and (ii) small-scale woodlots to provide alternative sources for poles and fuel wood.

3.1.5.1 Commercial plantation forestry

Development of forestry plantations in Miombo woodland raises many concerns. The main areas of commercial plantation forestry seem to be in the Chimoio area and parts of the Sofala, Zambézia and Niassa Provinces.

3.1.5.2 Small-scale woodlots for poles and fuelwood

In various areas the intensive agricultural practices have left large areas with few to no Miombo trees in the landscape. There is always a need for fuelwood and many areas also a need for poles for construction of various kinds. Various organizations have planted woodlots to provide in those needs. In some places Forestry may have planted woodlots to provide in such needs. NGO's also often promote the planting of woodlots of indigenous or introduced species to provide in pole and fuel wood needs.

3.2 Environmental and Social Impacts and Opportunities of Proposed REDD+ Strategy Options

The SESA for REDD+ provides an evaluation of the environmental and social impacts and opportunities associated with each of the above strategy options (see Chapter 9 of the SESA). This ESMF is designed to help ensure REDD+ project opportunites are optimized and potential impacts are avoided or minimized.

4 Guidelines for Implementation of ESMF

All REDD+ projects shall be subjected to a review and screening process in order to determine the level of required environmental and social assessment. During this phase, the assessment shall bear in mind the main objectives of REDD+, which are to reduce deforestation and degradation in the country, contribute to global reductions in GHGs, improve biodiversity conservation, and enhance economic growth and improve livelihoods.

Given that at the time of writing this document, the REDD+ strategy for Mozambique had not been completed, this framework also addresses the process for evaluating the environmental and social impacts of the REDD+ program. For the purposes of this ESMF, PROGRAM refers to the pilot projects being evaluated by the REDD+ SESA including an evaluation of how changes in the country's institutional framework (needed to successfully implement REDD+ in Mozambique) may affect the bio-physical and social, economic and cultural environment. PROJECT refers to potential REDD+ projects that may be developed in Mozambique. Whilst it is difficult to project all of the potential outcomes of modifying the country's institutional framework to promote sustainable conservation projects, including REDD+ projects, we have identified basic bio-physical, social, economic and cultural issues that should be evaluated prior to implementing changes in the country's policies, laws and legislation.

Pilot projects that are implemented by MITADER and the WB as part of an evaluation of potential REDD+ impacts in Mozambique should be subjected to the same environmental evaluation process as any project undertaken in the country (see Figure 1: ESMF Process). This ESMF describes the process for ensuring that environmental and social concerns are adequately addressed through the institutional arrangements and procedures used for managing the identification, preparation, approval and implementation of pilot projects, or proposed REDD+ projects.

All REDD+ projects will be undertaken under the direction and guidance of UT-REDD, with oversight of the multi-ministerial committee for REDD (CTR-REDD), headed by MITADER and MINAG. All REDD+ projects shall comply with the OP 4.01 and national legal requirements on environmental and social management.

UT REDD + will oversee all ESIA or EA processes for REDD+ pilot projects, and proposed REDD+ projects.. Environmental and social specialists will provide assistance to UT REDD

during the screening of REDD+ projects, preparation of ToRs for EIA studies, facilitation, coordination, and review of EIA studies and Environmental Management Plans (EMPs) prior to their submission to WB and MITADER for approval. Environmental and social specialists will also assist with the monitoring and evaluation of all the projects. UT REDD+ and CTR REDD+ will ultimately be responsible for verifying that all work performed by the specialists comply with the OP 4.01 and national legal requirements on environmental and social management.

4.1 Screening Phase

Screening of proposed projects/activities will need to be undertaken at several levels: national, regional and Provincial. Table 10 summarizes recommendations for where primary responsibility for screening should lie at different levels.

Table 10 Recommendations for where primary responsibility for screening should lie at different levels.

Level	Type of initiative	Implementation by	Overall responsibility for screening	Possible assessment action required
National	National-level Initiatives of government	UT REDD+ Coordination Division, line agencies	Monitoring, Reporting and Verification Unit (MRV) (in UT REDD Coordinating Division of MITADER)	EPDA or ESIA, RAP, VCDP or GAP
Regional	Landscape and protected area initiatives/projects	International and National NGOs, community groups	MRV unit (in REDD+ Coordinating Division of MITADER) in coordination with Regional/Provincial REDD+ Focal Desk	
Provincial	Provincial-level activities	DDC, I/NGOs, community groups	Provincial REDD+ Programme Management Unit (PRPMU)	
Local	Small-scale local and sub-projects	Local organisations, investors etc.,	PRPMU	

Screening of REDD+ pilot projects and proposed REDD+ projects will commence at the project inception phase, as soon as the specific project details are known including: nature, scope, and proposed location, among other parameters.

In order to comply with legal requirements and the WB guidelines, this ESMF includes two screening forms - Environmental and Social Screening Forms (Annexure A), as well as the Preliminary Environmental Information Sheet[1] (Annexure C) - part of the Decree nr. 45/2004. The screening forms and informations sheets must be completed for each proposed REDD+ project.

The Preliminary Environmental Information Sheet will include:

- Project name
- Site land use zoning category
- Identification of local communities
- Identification of land and forestry conservation activities occurring in the area
- Identification of agricultural management activities occurring in the area
- Provision of REDD Project Description
- Site location and environmental setting
- Site environmental, social and cultural sensitivity
- Identification of potential environmental and social impacts (based on Annexure A)
- Mitigation measures already included (based on Annexure A)

These forms, when correctly completed, will facilitate the:

- Identification of potential environmental and social impacts and the identification of health and safety risks;
- Assignment of the appropriate environmental category; and
- Determination of the need to conduct an ESIA/ESMP, a SES/ESMP and/or to prepare Resettlement Action Plans (RAPs), Vulnerable Community Development Plans, or Gender Action Plans, where required or determine that no action need to be taken.

[1] Annex IV, Decree nr. 45/2004

Screening and Project Categories: A, B, C and FI

The screening of proposed projects shall help determine the appropriate extent and type of Environmental Impact Assessment (EIA) or Environmental Social Impact Assessment (ESIA) required. The World Bank classifies proposed projects into one of four categories, depending on the type, location, sensitivity, and scale of the project and the nature and magnitude of its potential environmental impacts.

- Category A: A proposed project is classified as Category A if it is likely to have significant adverse environmental impacts that are sensitive, diverse, or unprecedented. These impacts may affect an area broader than the sites or facilities subject to physical works. EA for a Category A project examines the project's potential negative and positive environmental impacts, compares them with those of feasible alternatives (including the 'without project' situation), and recommends any measures needed to prevent, minimize, mitigate, or compensate for adverse impacts and improve environmental performance. For a Category A project, the borrower is responsible for preparing a report, normally an Environmental Impact Assessment (EIA) (or a suitably comprehensive regional or sectoral EA) that includes, as necessary, elements of the other instruments referred to in paragraph 7 of Operational Policy 4.01.
- Category B: A proposed project is classified as Category B if its potential adverse environmental impacts on human populations or environmentally important areas—including wetlands, forests, grasslands, and other natural habitats—are less adverse than those of Category A projects. These impacts are site-specific; few if any of them are irreversible; and in most cases mitigatory measures can be designed more readily than for Category A projects. The scope of EA for a Category B project may vary from project to project, but it is narrower than that of Category A EA. Like Category A EA, it examines the project's potential negative and positive environmental impacts and recommends any measures needed to prevent, minimize, mitigate, or compensate for adverse impacts and improve environmental performance. The findings and results of Category B EA are described in the project documentation (Project Appraisal Document and Project Information Document).

- Category C: A proposed project is classified as Category C if it is likely to have minimal or no adverse environmental impacts. Beyond screening, no further EA action is required for a Category C project.
- Category FI: A proposed project is classified as Category FI if it involves investment of Bank funds through a financial intermediary, in subprojects that may result in adverse environmental impacts.

The stages of the environmental social impact assessment (ESIA) process are presented below.

4.2 ESIA Process

4.2.1 Preparation of Terms of Reference (ToR)

If the activity is classified as a Category A or B project it requires the preparation of the ToR for hiring a consultant to carry out the ESIA and the specific ESMP and conduct the public participation process (see Annex C and D). According to the EIA Regulations 42/2008, Article 21 only consultants registered with the Environmental Assessment Authority (MITADER) are allowed to carry out environmental assessment studies in Mozambique. Consultants must present a valid register certification issued by MITADER.

The ToR should take into account potential impacts identified in the SESA; as well as other potential specific impacts of the site where the activity will be executed.

The structure and content of the EIA must follow the stipulations found in the Regulation of EIAP (Decree Nr.45/04).

The Public Participation Process shall follow the General Directive of the Public Participation Process in the Process of Environmental Impact Assessment.

The ToR must be sent to the World Bank's Environmental and Social Safeguard specialist for no-objection and then to MITADER, for approval.

4.2.2 The Consultant

The consultant team retained for the proposed project must present a valid register certification issued by MITADER, and have the required expertise in environmental sciences, sociology, economics, health, safety and security, cultural resources, and

project management. For Category A and B projects, the team should include a Team Leader with a comprehensive understanding on international best practices, and World Bank performance standards; knowledge of Mozambique's environmental and social issues and opportunities would also be beneficial. Local experts would be required in the environmental sciences and social disciplines, including someone with solid experience conducting stakeholder engagement and community consultation.

The proponent should request separate technical and financial proposals (submitted in a sealed envelope) and proposal evaluation should be weighed on technical approach and expertise independent of an evaluation of costs. The financial proposals should only be evaluated for consultant teams that are short listed based on the technical proposals.

4.2.3 Stakeholder Engagement and the Public Participation Process

The ESIA would be prepared by the consultant hired by UT REDD+. The environmental and social specialists would serve as focal points for the project and establish communication with the local community and other stakeholders, and be involved in the process of public participation. A stakeholder action plan (SAP) and stakeholder engagement plan (SEP) should be prepared early in the project and reviewed and approved by UT REDD+. The SAP and SEP must consider inclusion of women's groups and representatives of other vulnerable populations (elders, youth and disabled). It is important that consultation be initiated early in the project which provides stakeholders and members of the public adequate time to comment, voice concerns, or share ideas that may enhance the project. A grievance mechanism should be developed during project inception, and shared with stakeholders and community members so they can share concerns without fear of reprisals.

The main objective of stakeholder engagement and public participation is to ensure that the concerns and issues raised by the Interested and Affected Parties (PI&As), organizations or individuals are taken into account during the ESIA, allowing for the PI&As to discuss the proposed REDD+ project and the results of the environmental and social studies. The Public Participation Process grants an open channel of communication between the public, the consultants, UT REDD+ and MITADER, which will be of extreme importance in managing potential conflicts.

Although PR AIA (Reparticao Provincial for MITADER) does not consider the public consultation activities for Category B as a compulsory action, this will be required by the present FER, according to the OP.4.01.

UT REDD+ shall be actively involved in the public participation process from an early stage in the Project, and shall support the local communities' involvement in the process. This will include the District Consultative Councils, any Natural Resources Management Committees (CGRN) working in the area, representatives from village councils or committees, representatives of women's groups, as well as other interested parties (e.g., private enterprise, such as mining and gas, or logging industry), and environmental and development NGOs. With this in mind, the creation of local committees consisting of representatives of different participants, consultants and contractors as well as the parties directly affected by the proposed project, is encouraged.

The report of the public participation process should be included in the environmental assessment report and / or in the activity file folder.

4.2.4 Compilation of Environmental and Social Requirements for Tender Documents

The UT REDD+ environmental assessment specialist will make a compilation of environmental and social requirements to be met by the REDD+ project proponents.. This compilation will be based in the Environmental and Social Management Plan (ESMP) approved by MITADER (for Category A and B activities).

The environmental and social requirements will be included in the Tender Documents of the proposed REDD+ projects, and may include preparation and implementation of a resettlement action plan (RAP), for involuntary resettlement. A gender action plan (GAP) or Vulnerable Community Development Plan (VCDP) will be developed as needed to address social, economic and cultural issues as they affect these groups.

The Tender Documents shall indicate that before initiating a REDD+ project on the ground the Contractor shall obtain all permits necessary for carrying out the work under the contract.

The Tender Documents shall also require that for all developed lands being claimed for a REDD+ project must carry out all the necessary works for rehabilitation of the developed site. If the development or industrial activity currently operating on the land does not have a permit that requires complete rehabilitation of the project site upon

abandonment, the REDD+ project proponent shall take responsibility for the rehabilitation. All equipment, materials, polluted soil, etc. will be removed and cannot be abandoned on site or surrounding area.

Once the work is completed, the Contractor or Proponent shall: (i) remove temporary buildings, equipment, solid and liquid waste, leftover materials, fences, etc. (ii) rectify faults in drainage and treat all excavated areas; (iii) reforest areas initially deforested with appropriate species approved by the Ministry of Agriculture and Forestry (MINAG); and (iv) protect the remaining dangerous works (wells, open ditches, slopes, projections, rehabilitate quarries, etc.). After the removal of all equipment, a report on the rehabilitation of the site must be prepared and attached to the minutes of the reception of the works. The rehabilitated land will be inspected by representatives of the MITADER and MINAG to ensure the rehabilitation work is suitable for REDD + activities to commence.

4.2.5 Consultation and Disclosure

The preparation of the ESIA and ESMP or EIA and EMP will include a consultation process with key stakeholders, including NGOs directly supporting communities on community development in conservation areas, as well government environmental authorities (at national, provincial and district levels), community groups, including women's groups. Consultation must comply with WB OP 14, WB stakeholder consultation guidelines, and national requirements for stakeholder consultation.

4.2.6 Review and Approval

The UT REDD+ environmental and social specialists will review the ESIA prior to submission to the Provincial Directorate of Land, Environment and Rural Development (DPADER). The DPADER will always be responsible for the review and final approval of environmental studies and environmental management plans and the accompanying environmental licensing.

4.3 Capacity Building

Successful implementation of a REDD+ Project will depend among others on the effective implementation of the environmental and social management measures outlined in the ESMPs, RAPs, GAPs, and VCDPs. Training and capacity building will be necessary for the key

stakeholders in order to ensure effective implementation of the ESMF, and will be identified in the ESMF

Capacity building should be viewed as more than training. It is human resource development and includes the process of equipping individuals with the understanding, skills and access to information, knowledge and training that enables them to perform effectively. Therefore it should include awareness-raising and sensitization to issues, as an addition to technical training.

Awareness-raising for stakeholders who need to appreciate the significance/ relevance of environmental and social issues throughout the project life cycle.

Sensitization for stakeholders that need to be familiar enough with the issues that they can make informed and specific requests for technical assistance.

Technical training for stakeholders who will need to use the ESMF tools, analyse potentially adverse environmental and social impacts, to prescribe mitigation approaches and measures, and to prepare and supervise the implementation of management plans.

Technical training for administrators shall be focused on:

- Environmental and Social Impact Assessment Process in Mozambique;
- World Bank's Social and Environmental Safeguard Policies;
- Legal and institutional environment and social framework in Mozambique;
- Potential environmental and social impacts of REDD+ projects, mitigation and monitoring measures;
- Training on the use of REDD+ ESMF screening and checklist forms for mitigation measures;
- Training on the preparation of Terms of Reference (ToR) for the hiring of consultants to conduct environmental and social studies for projects classified as Category B
- Stakeholder engagement, consultation and partnerships
- Reporting, monitoring and follow-up of ESMF

Technical training for practitioners will be identified in the National Strategy for REDD+, and will be included in the ESMF.

4.4 Supervision and Monitoring

The UT REDD+ environmental specialist and their environmental and social consultants shall monitor the practitioners (e.g., Contractors, or Project Proponents) who implement the ESMP and/or Resettlement Action Plan (RAP) and/or other mitigation measures to ensure the practitioners comply with the ESMP. From here-on, this position is referred to as a Quality Assurance Monitor (QAM). Compliance monitoring comprises on-site inspection of activities to verify that measures identified in the ESMP and/or RAP is being implemented satisfactorily.

If the QAM identifies any default by the Contractor or project Proponent, the default shall be immediately reported to the UT REDD+, MITADER and MINAG. These REDD+ coordinating agencies will bilaterally discuss the actions to ensure the default does not occur in the future. Conversely, if the QAM identifies any environmental or social damage, he/she shall consult the UT REDD+ PIU environmental specialist to identify the applicable remediation measures.

On all REDD+ projects the UT REDD+ environmental and social specialists or their QAM should undertake regular inspections to verify the nature and magnitude of the expected impacts, verify the effectiveness of the implementation of proposed mitigation measures, and determine the need for further mitigation measures or changes in the existing ones.

4.5 Reporting

The process implemented for this ESMF document should be properly documented and filed for future reference in the audit stage. This includes Pre-Environmental Assessment Sheets, correspondence with the MITADER, reports produced by consultants, records of public consultations or complaints received and, where appropriate, the environmental permit.

The environmental and social specialists will submit quarterly monitoring reports of all active investments under implementation to the UT REDD+ who will then submit these reports to the World Bank. It will report the activities carried out under the ESMF, indicating the whole process carried out for each and every subproject undertaken, and conducting an assessment of the level of performance achieved, the difficulties encountered and the solutions found or proposed.

The annual report must also describe the training activities carried out, indicating its content, duration and participants.

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Annexure A

PROJECT LEVEL REDD+ SCREENING TOOLS (also for Pilot Projects)

and Sample Mitigation Measures

Table A-1 Screening to determine level of assessment and responses required for proposed REDD+ projects.

QUESTIONS	FORMAL REQUIREMENT	REDD+ ACTION
(A) Will the proposed intervention, activity or project fall into any of the categories A or B listed in Annexes I, II and III of the Environmental Impact Assessment Regulation (Decree 45/2004 of 29 September) [equivalent to World Bank OP4.01 Category A]	Pre feasibility and Scoping Study (EPDA)/EMP Environmental Impact Assessment (EIA)	Pre feasibility and Scoping Study (EPDA)/EMP Environment and Social Impact Assessment (ESIA)
(B) Will the project likely have minimal or no adverse impacts (environmental or social)? Category C Annexes I, II and III of the Environmental Impact Assessment Regulation (Decree 45/2004 of 29 September) [equivalent to World Bank OP40.1 Category C]	Beyond screening, no further action is required.	An ESMP may be required.
(C) Will the proposal lead to resettlement, or significantly affect vulnerable communities or women?	No legal requirement, but implied by several Acts; and some sectoral environmental policies require RAP, VCDP and AGP (eg roads and hydropower)	Resettlement Action Plan (RAP), Vulnerable Community Development Plan (VCDP), Gender Action Plan (GAP), as appropriate
(D) Will the proposed intervention or actions lead to new or modified policies, plans, programmes, regulations, incentives for investment and marketing, etc) – these may generate significant environmental and/or social risks.	None at present	A mini SESA (particularly to address alternatives and cumulative impacts) – if screening indicates significant risks

It is assumed that the UT REDD+ will issue guidance and/or procedures (steps and application/proposal forms) for proposing/applying to undertake REDD+ interventions, activities or projects. The guidance forms should include a set of basic questions that proponents should answer to provide the information required for formal screening. Specific details should be provided on each question and, wherever, possible, an indication given of the nature, scale and magnitude/extent (quantitative when possible, or qualitative when not) of likely affects (impacts) of proposals, and how/why the proposal might lead to particular outcomes.

Scoping for an EIA or ESIA

Scoping is undertaken prior to setting the terms of reference for an EIA or ESIA. Scoping should address the questions listed in Figure A-1. These questions will help to determine what may need to be addressed by proponents in an ESIA and when preparing a Resettlement Action Plan (RAP), Vulnerable Community Development Plan (VCDP), or Gender Action Plan (GAP) that has been signalled as necessary.

Scoping questions to assess risk for national, regional and district proposals

Notes: 1: The square brackets indicate when a RAP, VCDP or GAP may be triggered]; 2: Where questions ask what 'affect' a project may have, this relates to both within the project boundaries and near/around the location of the project.

To what extent (quantify where possible, or provide a qualitative measure) will the proposal:

Environmental

- Lead to deforestation or forest degradation?
- Promote encroachment into forest areas?
- Stimulate over-harvesting or illegal off-take of forest products or other natural resources, or unsustainable use of forests?
- Increase methane release?
- Change the management regime of, or affect, protected areas and their ecological, landscape, cultural or other values and functions?
- Threaten particular species of fauna or flora?
- Cause the loss or fragmentation of ecosystems, habitats, biodiversity or affect ecologically sensitive areas (eg wetlands, watercourses or other water bodies, mountains, forests, woodlands)
- Stimulate land use and land cover changes?
- Cause water scarcity?
- Stimulate increased use, storage, transport, handling or production of harmful substances (eg chemicals)?

- Involve signification construction of infrastructure?
- Use fertilizers or pesticides? Or generate or cause the release/disposal of hazardous, toxic or noxious substances that may cause pollution (of air, rivers, surface waters or groundwater)?
- Increase the risk of slope destabilization, subsidence, landslides, erosion, or flooding?
- Have agricultural impacts (eg reducing agricultural productivity, soil quality, potential for crops, or reduce crop diversity – such as by eliminating indigenous crop varieties)?

Social

- Result in conflicts (elite capture, between people or ethnic groups, rich-poor, people-wildlife, etc)?
- Result in any risks of accidents?
- Pose risks to human health, or affect health services/facilities?
- Result in social changes, eg in demography, traditional lifestyles, employment/income generation? [VCDP]
- Lead to small farmers or local enterprises being out-competed or displaced, or their access (eg to forests resources) being limited?
- Increase dependence on external inputs that leads to further marginalization of poor people? [VCDP]
- Limit opportunities for the poor and marginalized?
- Affect any areas or features of historic, archaeological or cultural importance?
- Cause physical and/or economic displacement of people (eg eviction of squatters/ encroachers)? [VCDP]
- Impact on the poor, vulnerable or disadvantaged people? [VCDP]
- Lead to loss of user/traditional rights, or access to forest products & resources? Or ignore/displace traditional knowledge or cultural/spiritual values? [VCDP]
- Exclusion/elimination of cultural / spiritual values & traditional practices?
- Result in inequity in benefit-sharing? [GAP, VCDP]
- Lead to significant land acquisition? [RAP]
- Cause social exclusion or exclusion of women/.children? (GAP, VCDP]
- Affect women (including violence against women) and/or children, or women -headed households?, and how will the proposed project address existing violence against women [GAP]
- Lead to an increase in women's workload? If yes, how will the proposed project address the existing, and the potential increase in, women's workload? [GAP]
- Increased costs (in terms of labour or time)?
- Affect the livelihoods of communities (in general) or particular people or groups of people (eg due to loss of shelter and housing structure, loss of income source, loss of grazing field/ social network/ family bondage etc)? [VCDP]
- Promote a significant increase in investment, commercial activities and enterprises (eg

plantations, value-adding micro industries, etc)?

- Reduce food production/security or affect market value of forest products or crops?
- Affect common property resources?
- Affect access to schools, education and communications?

Other considerations for scoping - will the project:

- Be located within or adjacent to a protected area (eg national park, wildlife reserves, conservation area or hunting reserve)?
- Cause any physical changes, eg to topography, land use, changes in water bodies?
- Use natural resources such as land, water, forests, minerals or energy, especially any resources that are non-renewable?
- Involve the use, storage, transport, handling or production of substances or materials which could be harmful to human health or the environment (e.g. chemicals) or raise concerns about actual or perceived risks to human health?
- Produce solid wastes during any construction work, operating or decommissioning?
- Release pollutants or any hazardous, toxic or noxious substances to air?
- Lead to risks of contamination of land or water from releases of pollutants onto the ground or into rivers, surface waters or groundwater?
- Affect areas which are already subject to pollution or environmental damage (e.g. where existing legal standards are exceeded)?
- Result in any risks of accidents during any construction or operation of the project which could affect human health or the environment?
- Affect any areas which are protected under international or national legislation for their ecological, landscape, cultural or other value?
- Affect any other areas which are ecologically important or sensitive, eg wetlands, watercourses or other water bodies, mountains, forests, woodlands, which could be affected by the project?
- Affect any areas which are used by protected, important or sensitive species of fauna or flora, eg for breeding, nesting, foraging, resting, overwintering, migration?
- Affect any underground water?
- Affect any areas or features of high landscape or scenic value?
- Be in a location where is likely to be highly visible to many people?
- Affect any routes which are used by the public or visitors/tourists for access to recreation or other facilities?
- Affect any transport routes which are susceptible to congestion or which cause environmental problems?
- Affect any areas or features of historic, archaeological, cultural or religious importance?

- Be located in a previously undeveloped area where there will be loss of natural habitats?
- Affect any existing land uses (eg, agriculture, forestry, tourism, mining or quarrying)?
- Affect private and public property (homes, gardens, other private property, industry, commerce, recreation, public open space, community facilities)?
- Affect any areas which are densely populated or built up?
- Affect any areas around the project location which are occupied by sensitive services (eg hospitals, schools, places of worship, community facilities) which could be affected by the project?
- Affect any areas which contain important, high quality or scarce resources, eg groundwater, surface waters, forestry, agriculture, fisheries, tourism, minerals, which could be affected by the project
- Be located in an area susceptible to earthquakes, subsidence, landslides, erosion, flooding or extreme or adverse climatic conditions, eg temperature inversions, fogs, severe winds, which could undermine the feasibility of the project?
- Affect any plans for future land uses
- Involve or affect squatters/encroachers residing in the project area? How will they be affected? [VCDP, RAP]
- Affect poor, vulnerable or disadvantaged people (specify) [VCDP]
- Lead to land acquisition? [RAP]
- Cause the physical and/or economic displacement of people? [RAP, VCDP],
- Affect women and/or children, or women-headed households? (how?) [GAP]
- Affect the livelihoods of communities (in general) or particular people or groups of people (eg due to loss of shelter and housing structure, loss of income source, loss of grazing field/ social network/ family bondage etc)? [VCDP]
- Affect any social or commercial tree plantations or fruit trees,
- Affect land productivity, type and quantity of crops?
- Affect the market value of land?
- Affect common property resource?
- Affect access to health facilities/services?
- Affect access to schools, education and communications?
- Affect income generation opportunities?

Figure A-1 Scoping questions to assess risk for national, regional and district proposals

Sample Mitigation Measures for Potential REDD + Projects

Mitigation Measures

EPDAs and ESIAs should identify and provide recommendations regarding mitigation measures to prevent, minimise or offset negative environmental or social impacts that are assessed to be likely as a consequence of implementing particular projects or activities. Tables A-2 and A-23 list indicative mitigation measures for the main impacts that the SESA has identified to be possible when implementing the strategic options.

Table A-2 Negative environmental impacts and indicative mitigation measures

Negative Environmental Impacts	Indicative mitigation measures
Forest loss/degradation from improved access to forest	• Forest management plans that identify users/beneficiaries and prescribe sustainable offtake and equitable access
Forest loss and degradation from agricultural intensification, due to: • Encroachment (intensification may lead to agricultural expansion) • Providing agricultural inputs (eg leaf litter, organic mulch, fodder)	• Land use planning at village level • Demarcation of forest boundaries • Reduce demand to encroach by improving marginal cultivated lands - controlling erosion, improving soil fertility • Agroforestry & conservation agriculture) • Provide technical advice on sustainable intensification (through agricultural service centres)
Loss of forest and deforestation by promotion of energy efficiency	• EPDA and ESIA for hydropower • Compensatory plantation (addressing biodiversity concerns) • Supplement inputs to biogas with inputs other than animal dung (eg agric residues, human & household organic waste)
Habitat loss and fragmentation/ biodiversity loss due to forest management practices	Forest management plans that encompass ecological, social and economic objectives, emphasizing maintenance of indigenous species
Decline of biodiversity in compensatory plantation	• Plantation should include mixed species with preference to indigenous species (will require amendment to regulations for compensatory plantation)

Habitat fragmentation by infrastructure development	• Spatial mapping of sensitive habitats and identification of migration routes, breeding areas (should be incorporated in revised National Biodiversity Strategy) to facilitate spatial planning to better locate new infrastructure. • Maintain important habitats & forest corridors through forest conservation and restoration (in-filling)

Negative environmental impacts	Indicative mitigation measures
Slope de-stabilization, soil erosion, landslides due to agricultural intensification and infrastructure development	• Provide technical advice (through agricultural service centres) to support introduction of sloping land agriculture technologies Agroforestry & conservation agriculture • All infrastructure development should require technical & economic feasibility studies, and screening/ESIA – but particularly for small infrastructure supported by VDC and local funds – with more stringent regulation & monitoring • Awareness-raising and training for environmentally-friendly infrastructure construction
Loss of ecosystem services	• Valuation of ecosystem services (e.g. national accounts, full environmental cost accounting in infrastructure projects) • Promote and formalize positive ecosystem service to incentivise conservation and sustainable management
Solid waste from tourism industries	• Waste management plans • Regulation/guidelines for waste disposal and enforcement of controls on carriage of non- degradable containers (in protected areas) • Promote environmentally- friendly toilets in remote tourist destinations

Chemical pollution from agricultural intensification	• Require chemical suppliers to clearly label proper use of chemicals, and provide advice and training on use • Regulate imports to ensure banned or expired chemicals do not enter the country • Provide technical advice on chemical use through agricultural service centres • Promote organic farming and compost

Table 11 Social impacts and indicative mitigation measures

Negative impacts	Indicative mitigation measures
Social Exclusion and Displacement	
Exclusion of landless, poor & marginalised, eviction, loss of land/property	• Social & poverty mapping, with in-built gender analysis, leading to support development of RAPs. GAPs and VCDPs • Mandatory representation of landless, poor and marginalised in planning, decision-making, project implementation &monitoring • Access to grievance redressal mechanisms for socially excluded groups (SEG) • Prioritisation and incentives for socially inclusive projects
Social exclusion	• Mandatory representation of socially excluded groups (SEG) • Access to grievance redressal mechanisms for SEG
Exclusion/devaluation of women	• Mandatory gender sensitisation at all levels • Project GAPs (where required)
Exclusion/elimination of cultural / spiritual values & traditional practices	• Take into account in ESIA/ESMP
Ignoring/displacing traditional knowledge	• Raise awareness of project proponents and others stakeholders about the value/importance of traditional knowledge and incorporate this in project design and operation
• Small farmers & local enterprises out-competed, displaced	• Support the development of development of cooperatives and associations of small farmers/enterprises to be financially and technically competitive; and support product promotion

Negative impacts	Indicative mitigation measures
Leading to Inequity	
Inequity in benefit-sharing (loss of)	• Development of legal provisions to ensure benefits are equitably available to landless disenfranchised minorities and women

Elite capture (of resources, benefits, access, etc)	• Mandatory representation of landless, poor and marginalised in planning, decision- making, project implementation & monitoring
Inequitable/loss of access to forest resources/ products	• Marginalized people are represented in preparation, implementation and monitoring of forest management plans • Forest management plans that incorporate religious, cultural, and occupational needs of forest dependent communities
Increased costs (transaction, labour, time), e.g. • women who lack money and available time cannot pursue grievance mechanism • poor & marginalized cannot afford technologies or to invest in intensive agriculture	• Procedures for grievance redressal that can be easily accessed by marginalized people without inhibition or fear • Provide subsidies to marginalised people to have access to alternative energy technologies & agricultural inputs
Land grabbing (of public land)	• VDCs/municipalities undertake inventories of public lands in their territories to enable monitoring of land grabbing and reclamation of such land.
Loss of Livelihood	
Reduced food production due to conversion of agricultural lands to timber production	• Implement land use policy which aims to prevent such conversion
Loss of/ limited access to, employment, due to • conversion of agricultural land to timber production • marginalised people being uninformed of new employment opportunities	• Encourage private plantation owners to employ former agricultural labourers in plantation/nursery work • Training of agricultural labourers in forestry plantation & nursery work • VDCs provide information on opportunities & facilitate local communities to pursue them
Loss oflivelihoods, income, economic opportunities, due to: • Ineffective participatory models in protected area management & ecotourism • Communities being prevented from extracting forest resources in degraded areas • Poor illegal traders being prevented from pursuing those activities	• Protected area management plans that ensure marginalized people participation in PA management and ecotourism development • Promoting alternative sources of forest resources, eg using napier grass as substitute fodder • Agroforestry • Promote alternative legal employment
Loss of authority/autonomy and induced risk and dependency	

Loss of user/traditional rights, or access to forest products & resources	• Forest management plans that ensure traditional users rights of forest-dependent communities
Health risks, due to: • Dietary change – due to loss of access to traditional food sources • unsanitary latrines and open defecation by tourists • chemical fertilizers • indoor pollution (smoke) • increased consumption of processed food	• Ensure traditional user rights • Promote *low flow* toilets in remote tourist destinations • Require chemical suppliers to clearly label proper use of chemicals, and provide advice and training on use • Regulate imports to ensure banned or expired chemicals do not enter the country • Provide technical advice on chemical use through agricultural service centres • Promote organic farming and compost • Promote improved cooking stoves, clean energy • Raise awareness of dangers of unhealthy junk food
Lack of awareness / information amongst women and marginalized groups about: • real value of forest products and services • employment & enterprise training opportunities	• Mandatory application of the gender and inclusion in REDD+ programmes. • Mandatory gender awareness training for personnel at all levels - from policy-making, to programme formulation, implementation, monitoring and evaluation.

Not accessible to poor, marginalised (can't afford), and dependence on external inputs needed for agricultural intensification	• Promotion of pro-poor financing (credit, subsidies, etc) coupled with on-going support (training, marketing skills, information, etc) • Ensure protection of indigenous crop varieties (maintaining agro-biodiversity & traditional form of multi-cropping) • Encourage use of organic and compost fertilizers
Monopolies setting prices (e.g. timber)	• The government should consider regulation of prices and market for timber
Token participation	• Sensitise project implementers about gender discrimination & social exclusion • Prioritise projects which ensure gender sensitivity and social inclusion

Politicisation of community decisions leading to elite capture of access to forests and their benefits	• Ensure effective local grievance redressal mechanisms • Mandatory representation of landless, poor and marginalised in planning, decision-making, project implementation &monitoring
Social Conflict and Violence	
Violence against women	• Prepare GAPs, • Promote gender-responsive grievance redressal mechanism • Ensure severe punishment of perpetrators
Social conflict, due to: • tying of carbon rights to land and forest ownership • increased access to forests by marginalized groups • raised expectations of community groups • allocating subsidies only to small farmers • differential interest in and access to alternative energy technologies	• Clearly define carbon rights and how benefits will be shared • Forest management plans that incorporate religious, cultural, and occupational needs of forest dependent communities • Open, transparent communication • Free prior &informed consent • Conflict resolution mechanism • Conflict resolution mechanism • Promotion of alternative energy technologies must consider needs of different user groups
Human-wildlife conflict	• Create buffer zones where they don't exist around protected areas • Promote community-based wildlife management • Compensation for human life and crop lost • Problem animal control • Fencing

Monitoring environmental and social aspects of implementing the REDD+ Strategy

Internal monitoring (conducted as part of REDD+ implementation) should be applied to various aspects of the ESMF including:

- the project screening process (to ensure it is working effectively and efficiently),
- environmental and social monitoring of REDD+ project/activity implementation in terms of
  - changes to baseline conditions,
  - compliance with required protection and compensatory measures, and with

- recommendations made by environmental and social studies carried out for the
- project such as IESE, ESIA, RAP, GAP, VCDP etc
- environmental or social impacts, particularly to ensure that they do not exceed expected limits,

- ensuring that necessary safeguard measures have been duly implemented and the efficacy of mitigation measures, and suggesting further mitigation measure to control impacts, where needed;
- implementation of training and capacity building.

External monitoring undertaken would also be helpful, undertaken as an independent process on a periodic basis (say every 5 years) as part of a periodic review of progress of the overall REDD+ process in Nepal.

Monitoring is also required to enable the GoM to meet its international commitments. For example, the Warsaw REDD+ Framework, agreed in November 201 at the UNFCCC COP, requires countries to report not only on emissions reduction but also on safeguards. The UT REDD+ and CTR REDD+ could establish an independent expert committee to ensure compliance is verified even before such submissions are formally made to the COPs and its subsidiary bodies.

Countries are also to establish MRV to track effectiveness in reducing emissions and co-benefits. Other than creating multiple structures, the monitoring of environmental and social aspects of the REDD+ strategy should be linked and integrated, as appropriate, with the information management system for MRV; transparency is a key word repeated in the Warsaw decisions – public availability of information on impacts, etc. will enhance the capacity of the country to comply with that decision.

Monitoring REDD+ Projects

The overall sustainability of a project depends on how well environmental and social issues are managed during its implementation, and this requires effective monitoring. In this regard the Assessment and Monitoring Unit (AMU) and UT REDD+ and CTR REDD+ will need to develop a detailed set of monitoring and reporting guidelines.

The environmental and social performance of the REDD+ strategy and activities/ projects arising from its implementation have to be monitored. The monitoring is proposed to be carried out at both a national and provincial level.

Responsibilities for monitoring, evaluation and reporting

The overall responsibility of environmental and social monitoring of the REDD+ activities should be with the UT REDD+. In order to keep track of the environmental and social performance of the REDD+ strategy, the UT REDD+ will have to:

- regularly monitor national and regional projects/ activities in coordination with the Regional REDD+ Focal Desk and project developers/implementing agencies,
- coordinate regularly with PRPMUs that are monitoring provincial and local level projects/activities,
- report the findings of monitoring to the REDD+ Working Group, and
- recommend necessary actions to improve and/or enhance environmental and social performance of the REDD+ strategy.

The PRPMU should be responsible for monitoring the environmental and social aspects of REDD+ projects/activities carried out in districts as well as at local levels, and coordinating with project developers/ implementing agencies. Each PRPMU will have to regularly coordinate with VDC officials to regularly monitor the projects/activities carried out at VDC and local levels. The PMU should be responsible to:

- prepare environmental and social monitoring reports on REDD+ activities/ projects carried out in their respective district,
- report the findings to the UT REDD+ and the REDD Working Group (if necessary), and
- suggest necessary actions to improve and/or enhance environmental and social performance of REDD+ at the district and local levels.

While most of the monitoring oversight will need to be conducted by the UT REDD+ officials, if necessary, the services of competent third party monitors can be engaged to provide periodic and objective assessments of progress, shortfalls and challenges in the implementation of specific project components/sub-components, especially those related to field projects.

For those projects subjected to an Environmental and Social Impact Assessment (ESIA) procedure, monitoring will need to be carried out in accordance with the requirement in Environmental Auditing (*Auditoria Ambiental* - AA) which is a mechanism to manage existing and ongoing activities that may result in environmental damage. (Environment Law, Article 18, paragraph 1 and Environmental Impact Assessment Regulation, Article 24, paragraph 2). AAs are therefore undertaken after an activity has received its environmental license.

The AA is a management tool designed to ensure ongoing legal compliance and compliance with the environmental management plan submitted as part of the EIA or EAS. The AA also seeks to identify areas for improvement. The purpose of the AA is to organise and interpret

environmental monitoring data, to verify that monitoring is legally compliant, to compare actual impacts with those predicted in the EIA or EAS and management plan, evaluate the environmental management system in place and determine whether or not mitigation measures in use are satisfactory. The outcomes of the AA should be regular review of the environmental management plan and optimized environmental protection based on up to date information about best practice.

Types of Monitoring

Three types of monitoring are proposed for monitoring the environmental and social performance of the REDD+ activities: baseline monitoring, compliance monitoring and impact monitoring.

Baseline Monitoring - needed to collect data on environmental resources and social setting of the project area prior to the implementation of the project. Such data are usually collected to provide the basis for undertaking environmental and social studies such as EPDA, ESIA, RAP, and GAP. During baseline monitoring, these data are further verified and updated. Baseline monitoring will provide an overall description of the environmental and social setting of the project area. Some of the required monitoring activities include:

- Physical aspect: monitoring of river water quality, drinking water quality, air quality, water discharge of the rivers and streams, land stability and erosion, etc.
- Biological aspect: monitoring of forest composition, biomass, wildlife diversity and population, population status of threatened and rare species, etc.
- Socio-economic aspect: population size of settlements, ethnic composition, economic status of the communities and their living standards, status of social and economic services available to communities, land holdings and property, status of women, indigenous people, dalits, and other marginal groups, etc.

Compliance Monitoring - to ensure that environment and social protection and compensatory measures are complied with, focusing on:

- environmental protection measures to be incorporated into the project implementation framework and contract documents;
- allocation of funding for protection measures, compensation for land and property etc.;

- for infrastructure projects, the construction of works including excavation, transportation, dumping and stockpiling of construction materials, operation of quarry sites, storage of explosives and toxic materials; etc. shall be monitored and supervised;
- supervision of encroachment in forests and wildlife;
- provisions of health and sanitation facilities and control of communicable diseases;
- compensatory plantation, land acquisition and compensation;
- skill training and public awareness activities.

Impact Monitoring - focusing on each predicted impact and the effectiveness of proposed mitigation measures which may include slope stability, watershed condition, spoil disposal area, forest condition and compensatory plantation etc.

Impact monitoring will examine the effectiveness of the mitigation measures, identify emerging impacts due to project activities or natural processes, and assist the identification of necessary remedial actions. It should focus on key indicators (that should be proposed by ESIAs) to assess whether the impacts have been accurately predicted, and whether the mitigation measures are sufficient and effective.

Both compliance and impact monitoring must be carried out during project implementation.

Monitoring Key Performance Indicators

Specific monitoring criteria and key performance indicators will need to be developed by UT REDD + after the national strategy for REDD + is completed.

Stakeholder engagement and monitoring and evaluation

Free prior and informed consent (FPIC) need to be included in the design and implementation of REDD+ projects. Detailed information about the project and potential impacts should be provided to potentially affected communities. The information should be in a language that is accessible to the different target groups to allow informed discussions and decisions thereafter. Ample time (possibly three months) should be allocated to ensure that affected groups can have internal consultations and seek advice to better understand what is at stake.

Upon consent for REDD+ projects to be implemented, there is also need to establish a timeline for monitoring the implementation of the agreement and to monitor the impacts that would have been jointly identified. So FPIC needs to be incorporated not as a one off event, but as a

continuous process of engagement, negotiation and adaptation of the plans for mitigating negative impacts.

A social accounting mechanism should be promoted within the environmental and social monitoring framework of the REDD+ strategy. This system will benefit REDD+ implementation in two ways: it will engage stakeholders and the public in the REDD+ process improving participation, and enhance social acceptance of the REDD+ approach. However, REDD+ implementing agencies will need to consider the possible threats that might arise from inadequate transparency, over-expectation and misunderstanding of REDD+ programmes, as well as from poor integration of stakeholders in the process. Therefore, proper protocol and procedures will need to be defined for this process.

A key approach will be to enable feedback from stakeholders. The participatory processes are proposed to guide either one of (a) social audit, (b) citizen score card and (c) report card or combination of these (as needed). Feedback acquired from these processes should be used to evaluate performance of projects and activities under REDD+ and also record citizens' recommendations for improvement. The participatory process needs to be linked with existing systems of local self-governance.

There should be a joint monitoring framework for local groups that provides specified criteria and indicators. Monitoring should aim to ensure equality and equity.

Safeguard Monitoring

The GoM will need to establish a Safeguard Information System (SIS) which will need to include identifying and continuously monitoring key indicators (e.g. on governance, benefit-sharing, participation of marginalised groups in decision-making). This can only be done when the content of REDD+ strategy is known. A set of such core ESMF indicators should be monitored independently of project monitoring and should be adaptable to enable unforeseen issues to be added. Experience from community forestry has been that some key problems were not anticipated in advance (e.g. exclusion of marginalized groups).

Annexure B. Programmatic Screening Tool

							Potential Impacts at Programmatic Level					
Modify Mozambique Legislation to Enhance Carbon Stock/ Reduce and Modify Traditional Land Use Practices	**Loss of cultural sites**	**loss of access to cultural sites**	**move graves**	**loss of easy visitation of graves**	**traditional land use rights**	**to traditional flora/fauna resources**	**loss of access to forest resources**	**loss of access to medicinal plants**	**of foreigners -- effect on language, cultural values**	**Increased potential for poaching wildlife**	**traditional agriculture on community**	**traditional agriculture on family social**
Law on the Protection of Cultural Heritage (Law No. 10/88 of December 22, 1988)	x	x										
Burial Regulations (Decree No. 42/90)			x	x								
Land Law (No. 19/97)	x	x			x	x	x	x				
Environment Law (1997)												
Forest Law and Wildlife Law (Law No. 10/99)	x	x			x	x	x	x				
Tourism Law (Law nr. 4/2004)					x	x	x	x	x	x		
Territorial Planning Law (17/2007) (if imposed to enhance carbon values at expense of traditional land use/settlement etc.)	x	x	x	x	x	x	x	x	x	x	x	x
Law on Spatial Planning (2007) (if imposed to enhance carbon values at expense of traditional land use/settlement etc.)	x	x	x	x	x	x	x	x	x	x	x	x
Biodiversity Cons. Strategy (2003-2010)		x		x	x	x	x	x				
Agriculture and Natural Resources Strategy (2010)					x						x	x
New Mining Law (14/2002, and 20/2014) (prioritise mining over traditional land use)	x	x	x	x	x	x	x	x	x	x		
National Adaptation Strategy on Climate Change Mitigation (2012)	x	x	x	x	x	x	x	x			x	x
Protection, Conservation and Sustainable use of Biological Diversity (Law no. 16/2014)												
Other Activities												
Introduce new crops											x	x
Introduce new farming methods											x	x
Discourage livestock browsing in forests					x						x	x
Introduce foreign tree species for commercial harvest												

							not meet MDGs	
Modify Mozambique Legislation to Enhance Carbon Stock/ Reduce and Modify Traditional Land Use Practices	**Introduce new sources of income -- effect social structure**	**Resettlement**	**Separation extended family/friends**	**Attract wildlife conflicts (e.g. elephants in Quirimbas Natl. Park)**	**loss of biodiversity**	**threaten endemic species**	**Refrain from building good road network to keep forests**	**Refrain from building water control structures to keep natural water balance**
Law on the Protection of Cultural Heritage (Law No. 10/88 of December 22, 1988)								
Burial Regulations (Decree No. 42/90)								
Land Law (No. 19/97)								
Environment Law (1997)								
Forest Law and Wildlife Law (Law No. 10/99)								
Tourism Law (Law nr. 4/2004)								
Territorial Planning Law (17/2007) (if imposed to enhance carbon values at expense of traditional land use/settlement etc.)	x	x	x		x	x	x	x
Law on Spatial Planning (2007) (if imposed to enhance carbon values at expense of traditional land use/settlement etc.)	x	x	x		x	x	x	x
Biodiversity Cons. Strategy (2003-2010)								
Agriculture and Natural Resources Strategy (2010)	x	x	x					
New Mining Law (14/2002, and 20/2014) (prioritise mining over traditional land use)	x	x	x		x	x		
National Adaptation Strategy on Climate Change Mitigation (2012)	x	x	x		x		x	x
Protection, Conservation and Sustainable use of Biological Diversity (Law no. 16/2014)								
Other Activities								
Introduce new crops	x			x				
Introduce new farming methods	x							
Discourage livestock browsing in forests								
Introduce foreign tree species for commercial harvest	x			x	x	x		

Annex C: Preliminary Environmental Information Form (Annex V, 42/4 November 2008; Annex IV – Decree 45/2004;)

ANEXO V

Modelo de Requerimento para a Instrução do Processo de Avaliação de Impacto Ambiental

Exmo Senhor Director Nacional de Avaliação do Impacto Ambiental

(a)....., de nacionalidade (b)....., portador do BI/Passaporte/DIRE n.º (c)....., emitido em (d) ....., aos (e) ...../...../....., submeter a proposta de actividade para a AIA, e solicitar a V. Excia, que com a viabilidade ambiental do projecto e efectuado o pagamento da taxa de licenciamento ambiental, se digne emitir a respectiva licença/declaração da actividade de categoria A/B/C, do projecto de (f) ....., com a designação (g) ....., com o valor total de investimento de (h)....., coordenadas geográficas, latitude (i)..... e longitude de (j) ...., Talhão/Parcela n.º (k)....., localizada no Posto Administrativo de (l)....., Distrito de (m) ....., Província de (n)....., cuja área de actividade é (o)....., pelo que

Pede deferimento

....., aos ..... de ..... de 200..

Assinatura

.....

a) Nome completo do proponente;
b) Nacionalidade;
c) Número do documento de identificação;
d) Local de de Emissão;
e) Data de emissão do documento de identificação;
f) Tipo de Projecto;
g) Designação do Projecto;
h) Valor total de investimento;
i) Latitude;
j) Longitude;
k) Número do talhão ou parcela;
l) Localização;
m) Distrito;
n) Província ;
o) Indicar o tipo do projecto e área da actividade;

1. Nome da Actividade: _____

2. Tipo de Actividade:

a)
Turística ☐ Industrial ☐ Agro-pecuária ☐ Outro ☐

b)
Novo ☐ Reabilitação ☐ Expansão ☐

3. Identificação do(s) Proponente(s):

4. Endereço/Contacto:

5. Localização da Actividade:

5.1 Localização Administrativa

Bairro de_____Vila/Cidade_____

Localidade_____Distrito_____

Província_____

Coordenadas Geográficas_____

5.2 Meio de Inserção:

Urbana ☐ Rural ☐

6. Enquadramento no zoneamento

Espaço habitacional ☐ Industrial ☐ Serviços ☐ Área Verde ☐

7. Descrição da Actividade

7.1 Infra-estruturas da actividade, suas dimensões e capacidade instalada :*(utilizar sempre que possivel peças escritas e desenhadas da actividade)*

.....
.....

7.2 Actividades Associadas:

.....
.....

7.3 Breve descrição da tecnologia de construção e operação:

.....
.....

7.4 Actividades principais e complementares:

.....
.....

7.5 Tipo, origem e quantidade de mão de obra:
.....
.....

7.6 Tipo, origem e quantidade de matéria-prima:
.....
.....

7.7 Produtos químicos citados quimicamente a serem utilizados
.....
.....

7.8 Tipo, origem e quantidade de consumo de água e energia:
.....
.....

7.9 Origem e quantidade de combustíveis e lubrificantes a serem usados:
.....
.....

7.10 Outras recursos necessários:
.....
.....

8. Posse da Terra (situação legal relativa a aquisição de espaço físico):
.....
.....

9. Alternativas para localização das actividades: *(Motivo da escolha do local de implantação da actividade, indicando pelo menos dois locaisl alternativos)*
.....
.....

10. Breve informação relativa a situação ambiental de referência local e regional:

10.1 Características físicas do local de realização das actividades:

Planície ☐ Planalto ☐ Vale ☐ Montanha ☐

10.2 Ecossistemas Predominantes:

Rio ☐ Lago ☐ Mar ☐ Terrestre ☐

10.3 Zona de localização:

Zona Costeira ☐ Zona do Interior ☐ Ilha ☐

10.4 Tipo de Vegetação Predominante:

Floresta ☐ Savana ☐ Outro ☐
(especifique)_____

10.5 Uso do solo segundo o plano de estrutura o ou política vigente:

Agricultura ☐ Residencial ☐ Industrial ☐ Protecção ☐ Outro ☐
(especifique)_____

10.6 Principais infra-estruturas existentes em redor da área de actividade:
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11. Informação complementar através de mapas

- *Mapa de localização (à escala conveniente)*
- *Mapa de enquadramento da actividade na zona de localização (à escala conveniente)*
- *Outra informação que julgar relevante*

Maputo...., de.....de 20>>>...