

# INTEGRATED SAFEGUARDS DATA SHEET

## IDENTIFICATION / CONCEPT STAGE

Report No.: ISDSC19621

Date ISDS Prepared/Updated: 09-Aug-2016

### I. BASIC INFORMATION

#### A. Basic Project Data

<b>Country:</b>	Mozambique	<b>Project ID:</b>	P161241
<b>Project Name:</b>			
<b>Team Leader(s):</b>	Andre Rodrigues de Aquino		
<b>Estimated Date of Approval:</b>	10-Oct-2017		
<b>Managing Unit:</b>		<b>Lending Instrument:</b>	IPF
<b>Financing (in USD Million)</b>			
Total Project Cost:	4.5	Total Bank Financing:	0
Financing Gap:	0		
<b>Financing Source</b>			<b>Amount</b>
			4.5
<b>Environment Category:</b>	B - Partial Assessment		

#### B. Project Development Objective(s)

The Project Development Objective is to strengthen the capacity of local communities, community-based and civil society organizations to participate in sustainable forest and land management and REDD+ processes at the local, national and global levels.

#### C. Project Description

The proposed project is part of a global program - the Dedicated Grant Mechanism for Indigenous Peoples and Local Communities (DGM) under the Forest Investment Program, one of the Climate Investment Funds - which has allocated \$4.5 million in grant resources to Mozambique. The MozDGM is based on (a) the Design Proposal for the global DGM, which was developed by the Global IPLC Working Group and (b) Mozambique's Forest Investment Plan, submitted by the Government of Mozambique to the Forest Investment Program. It follows the framework guidelines and set of activities covered under the components designed for the global DGM.

MozDGM will be prepared as a stand-alone project that complements the MozFIP project (P160033). MozDGM was designed to promote the participation and inclusion of local communities in processes and activities that seek to reduce deforestation and forest degradation. The project will build the capacity of targeted local communities, thereby enabling their inclusive and effective participation in sustainable forest and land management and REDD+ processes at the local, national and global

levels. This will contribute to the goals of MozFIP, which is to improve forest and land management by local communities, the government, and the private sector in selected landscapes.

Similar to MozFIP, MozDGM will operate a two levels: (i) the national level focusing on capacity building and institutional strengthening; and (ii) the landscape level focusing on the implementation of activities in the two selected landscapes, Zambezia and Cabo Delgado. Activities on-the-ground will aim to address the drivers of deforestation, while prioritizing livelihoods improvements for communities who live in and around the forests. MozDGM will be differentiated from MozFIP through its community-centered approach in design and implementation, and the emphasis on community organization, knowledge and capacity strengthening as the foundation for sustainable resource management. MozDGM will complement MozFIP and other natural resource management initiatives in the landscapes from the bottom-up perspective.

The MozDGM, like DGM activities in other countries will establish a small grants program. Organizations will apply for and implement grants under the supervision of the National Executing Agency. Specific grantee selection and eligibility criteria are still being developed. It is expected that DGM activities and grants in Mozambique will: (a) promote a strong sense of ownership and social accountability among the grant beneficiaries and key stakeholders; (b) strengthen the institutional capacity of communities, community-based and civil society organizations by means of in situ training events on managerial issues for grant beneficiaries and by encouraging a diversity of partnerships with governmental and civil society organizations; and (c) provide culturally adequate technical assistance to design, develop and implement on-the-ground activities. The NSC and NEA are also expected to design adequate, flexible, and efficient administrative and financial arrangements that will enable easy, streamlined and fast-track access to grants by local communities and their representatives, and facilitating adequate financial flows and management of project resources to diverse communities. The NSC and NEA will also carry out preliminary assessments of the economic, environmental and social feasibility of community proposals.

The project has been informed by the national REDD+ Readiness process, the FIP preparation process and analytical work on the state of forests and the role of communities. This includes studies on deforestation drivers, a social and environmental assessment, and studies specific to Zambezia and Cabo Delgado on proposed interventions to address deforestation drivers and socioeconomic needs. Two critical analytical NLTAs that provided a rigorous, analytical basis for project design addressed the issues of land rights delimitation and community-based natural resource management in Mozambique, with case studies conducted in the project area.

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

MozDGM will operate at two levels: (i) the national level focusing on capacity building and institutional strengthening; and (ii) the landscape level focusing on the implementation of activities in the two selected landscapes, Zambezia and Cabo Delgado.

#### **E. Borrower's Institutional Capacity for Safeguard Policies**

The National Executing Agency (NEA) is not yet defined and is expected to be selected by December 2016. At this stage the institutional capacity for safeguards policies implementation is not known. However, application of safeguards requirements particularly in subprojects is expected to be a challenge for a number of organizations accessing DGM funds. To mitigate this risk, the Project will ensure that the experience and performance of the NEA against environmental and social safeguards, both from the perspective of WB policies as the laws of the GOM, are assessed during

recruitment and adequately monitored during Project implementation.

The NEA will be required to hire an Environmental and Social Safeguards Specialists (ESSS) to oversee DGM activities. This specialist will be under overall guidance from the World Bank Safeguards Specialists. He will provide day-to-day supervision of the ESMF and PF implementation and ensure that subsequent ESMPs are fully addressed. Training workshops will be required to local communities, community-based organizations and other actors engaged in project interventions.

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

Alfredo Ricardo Zunguze (GEN01)

Bruno Alcantara Cardoso (GSU07)

Paulo Jorge Temba Sithoe (GEN01)

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

<b>Safeguard Policies</b>	<b>Triggered?</b>	<b>Explanation (Optional)</b>
Environmental Assessment OP/ BP 4.01	Yes	The Mozambique Dedicated Grant Mechanism for Indigenous Peoples and Local Communities (DGM) is a Category B project owing to the fact that potential adverse environmental impacts on human populations or environmentally important areas will be site-specific and few if any of them are irreversible; and in most cases mitigation measures can be designed. The activities to be financed under MozDGM, in particular under Component 2, will include production and commercialization of artisanal and non-timber forest products; community woodlots for biomass energy production; community land delimitation; micro-zoning for territorial management plans; restoration of degraded areas; developing fire management plans; sustainable agro-ecological production; and ecotourism. These activities are anticipated to have positive social and environmental impacts, as these activities will seek to promote sustainable management of natural resources in the community's lands whose livelihoods depend on these resources. Although the nature and scale of the proposed activities are not expected to have significant adverse impacts, as project activities are likely to take place in or around forest lands or its vicinity and/or protected areas or natural habitats, adverse impacts may occur that would require due safeguards attention. As consequently of the aforementioned the OP/BP 4.01 is triggered and basic principles and prerogatives need to be

		<p>established and followed to comply with safeguards requirements. As mitigation strategy for the anticipated impacts, safeguards instruments already developed under the FCPF support to the REDD+ Readiness Process are being harmonized to be applied to MozFIP as well as MozDGM Projects. The ESMF and RPF under harmonization for MozFIP and MozDGM will include specific considerations for the two project activities especially on the sub-projects screening process. The ESMF will include procedures along with appropriate institutional arrangements for preparing, screening, reviewing, implementing and monitoring site specific ESMPs for subprojects to prevent adverse impacts as well as cumulative impacts. The ESMF will also include provisions for mitigation of impacts on forest and natural habitats, thus providing general guidance procedures to address basic principles of OP/BP 4.36 on Forests and OP/BP 4.04 on Natural Habitats. Both the ESMF and RPF/PF under preparation will be consulted upon and will be disclosed both in-country and at Bank's InfoShop prior to appraisal. For each subproject, specific ESMPs may be prepared, consulted upon, and disclosed both in country and in the Bank's InfoShop (this will be agreed by appraisal). The ESMF will include procedures along with appropriate institutional arrangements for preparing, screening, reviewing, implementing and monitoring specific ESMPs to prevent adverse impacts as well as cumulative impacts.</p>
Natural Habitats OP/BP 4.04	Yes	<p>The application of this policy seeks to ensure that all activities to be financed under MozDGM take into account the conservation of biodiversity, as well as the numerous environmental services and products that natural habitats provide to human society. Activities under MozDGM should lead to positive impacts on natural habitats, such as their conservation and sustainable land management. Overall, MozDGM activities are expected to have significant positive impacts on natural habitats, as the project under Component 1 aim to strengthen communities' knowledge</p>

		and technical capacity on matters related to climate change and forest and land management, and under Component 2 will support subprojects contributing directly or indirectly to reduce deforestation while enhancing local livelihoods. However, as project activities are likely to be undertaken in the vicinity of forests and/or protected areas or natural habitats this policy is triggered. The ESMF being prepared will include provisions for mitigation of impacts on natural habitats (forest) approaches, thus providing general guidance procedures to address OP/BP 4.04.
Forests OP/BP 4.36	Yes	MozDGM activities are expected to have a positive impact on forest ecosystems through numerous activities such as avoiding deforestation, fire management, restoration of degraded areas, protecting and enhancing ecosystem services and biodiversity. As project activities are likely to take place in or around forest lands this policy is triggered. The ESMF under preparation in harmonization withfor the MozFIP project will address basic OP/BP 4.36 requirements, and be used by the MozDGM.
Pest Management OP 4.09	No	In general terms, MozDGM activities will have no association with pesticides. Nevertheless, some amounts of pesticides might be used in the short term for those activities associated with sustainable agro-ecological production under Component 2. Consequently this policy is triggered. The ESMF under preparation will include pest management approaches, thus providing analysis of potential negative impacts resulting from the use of pesticides and the risks associated with the inappropriate handling or storing of their containers, as well as providing general guidance procedures to address OP/BP 4.09. As stipulated in the policy, the ESMF will refer to the World Health Organization's Recommended Classification of Pesticides by Hazard and Guidelines to Classification, as well as Mozambique legislation.
Physical Cultural Resources OP/ BP 4.11	TBD	This policy could be triggered if MozDGM activities promote actions in areas containing sites deemed physical cultural resources by

		communities living there (e.g. holy sites such as sacred groves, sacred forests, etc.). Mozambique has several sites that are important to local communities, including sacred forests. Nevertheless it is not expected that community under MozDGM perform activities in such areas. However, during project preparation will be determined whether the policy requirements apply in that particular project's context.
Indigenous Peoples OP/BP 4.10	No	The policy is not triggered simply because it does not apply to Mozambique, as there are no such populations/communities that correspond to the definition of Indigenous Peoples as described per the policy.
Involuntary Resettlement OP/BP 4.12	Yes	Involuntary Resettlement (OP/BP 4.12) is triggered because project activities may involve community land delimitation and micro-zoning for territorial management plans leading to restrictions of access to livelihoods and resources. A Process Framework (PF) will be prepared is under preparation, as part of the RPF, so that community access resources might be assured. The PF will need to be is under consulted consultation upon, and will be disclosed in country and in the Bank InfoShop prior to appraisal.
Safety of Dams OP/BP 4.37	No	MozDGM is not expected to support construction nor rehabilitation of dams nor support other investments related with services of existing dams, therefore, this policy is not triggered.
Projects on International Waterways OP/BP 7.50	No	Project proposed interventions are not expected to involve large scale irrigation activities that would adversely affect the quality or quantity of water flow within shared waterways. The project will promote sustainable agro-ecological production under Component 2 to address the main drivers of deforestation and degradation which comes from unsustainable agriculture. However, the location, scale and complexity of agricultural intervention are not well known at this stage of project preparation phase.
Projects in Disputed Areas OP/BP 7.60	No	This policy is not triggered. The area in which the MozDGM will be implemented is not known to include any disputed areas.

### III. SAFEGUARD PREPARATION PLAN

**A. Appraisal stage ISDS required?: Yes**

## i. Explanation

Further details about project activities, implementation arrangements and geographic areas will

## ii. Tentative target date for preparing the Appraisal Stage ISDS

31-May-2017

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

December 2016.

**IV. APPROVALS**

Team Leader(s):	Name: Andre Rodrigues de Aquino	
<b><i>Approved By:</i></b>		
Safeguards Advisor:	Name:	Date:
Practice Manager/ Manager:	Name:	Date:

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