

TAP Review of the R-Package submitted by Mozambique¹

March 2017

¹ This TAP Expert Review consisted of a desk study of Mozambique's R-package report and of additional documentation on Mozambique's REDD+ readiness process. The review was carried out by Simon Rietbergen, independent TAP Expert, between January 25th and March 13th, 2017.

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Core Tasks of the TAP Expert Review

1. The present document contains the independent review by the Technical Advisory Panel (TAP) of the Self-Assessment Process of the R-Package² undertaken by Mozambique through a participatory multi-stakeholder consultation process. The purpose of the review is to assess both progress and achievements of REDD+ Readiness in the country, as well as the remaining challenges (if any) that will need to be addressed to effect the transition from Readiness to implementation of performance-based REDD+ activities.
2. The TAP-review is a background document for the Participants' Committee (PC) in its decision-making process on the endorsement of the R-Package. The endorsement of the R-Package is a prerequisite for the formal submission of Mozambique's Emissions Reduction Program Document (ERPD) to the PC. Mozambique's ER Program is planned for implementation at sub-national level, in 9 Districts in the Zambézia Province, covering 5.3 million hectares, two thirds of which are covered in forests. The ER Program area accounts for 13% of Mozambique's forest and for 8% of annual deforestation. Following the approval of Mozambique's Emissions Reductions Project Idea Note (ER-PIN) in 2015, the FCPF Carbon Fund signed a letter of intent (LoI) with the government of Mozambique for the purchase of up to 8.7 million tons of CO₂e emissions reductions from the Zambézia Province ER Program.

Methods Applied for the TAP Expert Review

3. This TAP Expert Review of the multi-stakeholder self-assessment process of REDD+ in Mozambique follows the FCPF R-Package Assessment Framework guide and benefits from the experience gained with a number of previous reviews that were done since the first was completed in DR Congo in April 2015. The TORs for the current TAP expert review are as follows:
 - Perform an independent review of Mozambique's self-evaluation of progress in REDD+ Readiness, using the methodological framework of the FCPF Assessment Framework for consistency;
 - Review Mozambique's documentation of stakeholders' self-assessment, including the process that was used for the self-assessment and the reported outcome;
 - Review key outputs (and the documents that underpin these) referenced in the R-Package, including documents pertaining to the national REDD strategy, the Strategic Environmental and Social Assessment (SESA) and Environmental and Social Management Framework (ESMF), reference

² The purpose of the R-Package is threefold: (i) Provide an opportunity to REDD Country Participants to self-assess the progress on REDD+ implementation; (ii) Demonstrate a REDD Country Participant's commitment to REDD+ Readiness; and (iii) Generate feedback and guidance to REDD Country Participants through a national multi-stakeholder self-assessment and Participants' Committee (PC) assessment processes (FCPF Readiness Assessment Framework guide June 2013).

- levels and forest monitoring, and national institutional structures;
 - Provide constructive and targeted feedback, highlighting strengths and weaknesses in subcomponents, and propose actions going forward.
4. To perform this task, a simple methodology has been applied which consists of the following steps:
 - Step A: Review the self-assessment process of REDD+ Readiness based on Mozambique's R-package report and supporting documentation. Box 1 below provides the outline of Mozambique's R-package report.
 - Step B: Review of the results from the multi-stakeholder R-Package self-assessment process, based on the same report.
 - Step C: Assess what still needs to be done to further the Readiness Process.
 5. The purpose of the TAP's expert review is not to second-guess the outcomes of the country's self-assessment, as this is based on a comprehensive multi-stakeholder process that was guided by the FCPF's readiness assessment framework. The review should rather focus on determining whether a due process and approach was followed while performing the self-assessment, and provide constructive feedback to the FCPF Participants Committee.

Box 1: Outline of Mozambique's R-Package Report: "R-Package Multi-stakeholder Self-Assessment of REDD+ Readiness in Mozambique"

1. INTRODUCTION

2. STRATEGIC VISION OF REDD+ IMPLEMENTATION IN MOZAMBIQUE

3. SUMMARY OF THE REDD+ READINESS PROCESS

- 3.1 SUB-COMPONENT 1A. National REDD+ readiness organization and consultation
- 3.2 SUB-COMPONENT 1B. Consultation, participation and outreach
- 3.3 SUB-COMPONENT 2A.. Assessment of land use, land-use change drivers, Forest Law, Policy and Governance
- 3.4 SUB-COMPONENT 2B. Strategy options
- 3.5 SUB-COMPONENT 2C. Implementation Framework
- 3.6 SUB-COMPONENT 2D. Social and Environmental Impacts
- 3.7 COMPONENT 3. Reference Emissions Level/Reference Level
- 3.8 SUB-COMPONENT 4A. National Forest Monitoring System
- 3.9 SUB-COMPONENT 4B. Information System for Multiple Benefits, Other Impacts, Governance and Safeguards

4. REPORT AND RESULTS OF THE PARTICIPATORY SELF-ASSESSMENT PROCESS

- 4.1 Report on the consultation process
- 4.2 Results of the participatory self-assessment

5. WORK PROGRAM TO CONSOLIDATE THE REDD+ READINESS PHASE
 6. CONCLUSION
 7. BIBLIOGRAPHY
 8. ANNEXES: LISTS OF PUBLIC CONSULTATIONS AT CENTRAL, PROVINCIAL AND COMMUNITY LEVEL
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TAP Review Part A: Review of the Self-Assessment Process and the Documentation

This part of the TAP report provides feedback on the multi-stakeholder self-assessment process, as documented in the R-package report.

5. ***Self-Assessment process conducted according to the R-Package guidelines.*** The multi-stakeholder consultation process for the self-assessment of Mozambique's REDD+ Readiness was undertaken between December 2016, when the relevant documents were circulated to all the regular participants and invitees to the REDD+ strategy consultation workshops, and January 2017, when the multi-stakeholder consultation workshop was held. Mozambique's REDD+ Technical Unit conducted the multi-stakeholder workshop itself, unlike in some other REDD+ countries, like Costa Rica and Nepal, where the government hired an external process facilitator for this task.
6. The R-Package multi-stakeholder consultation workshop, which was held in Maputo on January 12th 2017, brought together a total of 32 participants. The majority of these were officials from seven government ministries³, while the private sector, academia and the donor community were also represented. No Non-Governmental Organizations or Community-Based Organizations appear to have participated in the R-package multi-stakeholder consultation workshop⁴, which is at odds with the guidance provided in FCPF's June 2013 R-package user guide: "It is important that the approach to generate the assessment's outcome is based on the practices that were established for stakeholder consultation during the readiness phase" and "Participants of the assessment should include a representative cross-section of relevant stakeholders using mechanisms that were established or enhanced during

³ Ministry of Agriculture and Food Security (MASA), Ministry of Mineral Resources and Energy (MIREME), Ministry of Economy and Finance (MEF), Ministry of the Interior (MINT), Ministry of State Government and Civil Service (MAEFP), Ministry of Industry and Commerce (MIC), and the Ministry of Land, Environment and Rural Development (MITADER). NB With the exception of MITADER, these acronyms are missing from the list in the R-package report.

⁴ NGOs are not mentioned among the categories of consultation workshop participants in the R-package report. The participants' list of the consultation workshop is not appended to the R-package report, but it is available on the redd.org.mz website, and NGOs do appear to be missing.

readiness preparation". The omission of NGOs from the January self-assessment workshop appears to diverge from Mozambique's otherwise highly participatory approach to REDD+ Readiness, with over 70 multi-stakeholder consultation workshops held at national, provincial and community level, in which NGOs and CBOs participated fully.

7. At the R-package assessment workshop, all participants were asked to rank REDD+ Readiness Progress using a four color "traffic light" system; with green indicating significant progress, yellow indicating much progress but much work remaining; orange indicating that limited initial work had started and red indicating that almost nothing had started. The R-package report provides the scores given by workshop participants and contrasts these with the self-assessment of the government's Technical REDD+ Unit (UT-REDD+).⁵
8. The multi-stakeholder workshop held to review the draft self-assessment report produced by the UT-REDD+, did conduct a thorough discussion of strengths and weaknesses of the country's progress for each of the 34 assessment criteria, and came up with many practical recommendations to further improve REDD+ readiness, which are recorded in a six-page table in Chapter 4 of the report, and followed up in another six-page time-bound "Work Program to Consolidate the REDD+ Readiness Phase January – December 2017" in Chapter 5.
9. Unlike some other countries (e.g. Nepal), Mozambique did not apply the (optional) guidance in the FCPF R-package user guide "to allow for multi-stakeholder independent validation (of accuracy and completeness)" of the draft multi-stakeholder self-assessment report before finalization. At the time of the TAP review, the R-Package was not available on the redd.org.mz website.

➔ *TAP Conclusion: the FCPF Readiness Assessment Framework was used conscientiously during the self-assessment process. The multi-stakeholder character of the process, however, was somewhat diminished by the absence of NGOs from the assessment workshop, which was attended by representatives from the government, the private sector, academia and the donor community. This somewhat skewed participation in the self-assessment is at odds with the overall REDD+ Readiness process in Mozambique so far, which has been highly participatory and has interacted frequently with NGOs and Community-Based Organizations. Despite the lack of NGO participation, the assessment workshop provided many substantive comments and practical suggestions for improving REDD+ Readiness, which the Technical REDD+ Unit has incorporated in a Work Program to consolidate the REDD+ Readiness phase also contained in the R-package report, and which is discussed in more detail below.*

10. **Facilitation of the self-assessment consultation process.** The consultation process for the self-assessment was less involved than in other FCPF countries that did their R Package assessments recently, consisting of only one national stakeholder workshop. As Mozambique's R-package report

⁵ The reasons for the differences in these color scores are discussed under each of the sub-components.

states in Chapter 4, “Since each of individual components of the R-Package has been subject to wide ranging consultation as demonstrated in the Annex of the R-Package report, the decision was made to have only one specialized consultation on the R-Package draft document as well.” This is in line with FCPF’s R-package user guide, which states that “producing an R-package will largely entail the compilation and synthesis of previously prepared information, and a national multi-stakeholder exercise.”

11. The section of the R-package report describing the consultation process comprises three pages, with most of this space occupied by the color score tables. It is therefore difficult to say anything meaningful about the facilitation process. Judging from the high quality of the outputs of the workshop (see paragraph 9 above), however, it appears that the self-assessment workshop was well-facilitated.

➔ *TAP Conclusion: There is little information on the facilitation of the self-assessment process in Mozambique’s R-package report. As noted above, the fact that no NGOs were represented at the self-assessment workshop was a considerable divergence from an otherwise highly participatory and inclusive REDD Readiness process. Judging by the high quality of the stakeholder inputs made during the self-assessment workshop, as reported in the R-package report, the quality of the facilitation must have been adequate.*

12. **Time frame and development of the Readiness Process.** Mozambique has been implementing REDD+ readiness activities ever since it submitted a REDD Readiness Plan Idea Note (R-PIN) to the FCPF in March 2008 and established the Technical REDD+ Unit, which first reported directly to the Minister of Lands, Environment and Rural Development (MITADER), but was recently moved under MITADER’s National Sustainable Development Fund (FNDS). Mozambique submitted a Readiness Preparation Proposal (R-PP) to FCPF in February 2013, after which the first US\$3.6 million Readiness Grant was signed with the World Bank in July 2013. A mid-term progress report and request for US\$5 million additional Readiness funding were submitted in November 2015, and a second FCPF grant agreement was signed with the World Bank in February 2016. Most of Mozambique’s readiness activities have been funded under the readiness grants of the FCPF, while some have received support from JICA (MRV) and other partners.

13. In November 2015, the Government of Mozambique submitted an Emissions Reduction Program Idea Note (ER-PIN) to the FCPF Carbon Fund for a sub-national program in the Zambézia Province. The Letter of Intent (LoI) between the Government of Mozambique and the World Bank for potential purchase of up to 8.7 million tons’ worth of emissions reductions was signed in December 2015. Mozambique is now developing the Emission Reduction Program Document (ER-PD), which is due to be submitted to the FCPF CF later this year.

➔ *TAP Conclusion: the timeline and milestones of Mozambique’s REDD+ Preparation and Readiness activities since 2008 are not included in the R-package report, but are provided in this TAP review report for reference. Going forward, the R-package report does provide a*

thorough assessment of the current level of Readiness of each of the sub-components and a detailed work program for the remaining readiness activities that are necessary to consolidate the REDD+ Readiness Phase, which is of course the main purpose of the exercise..

14. **Stepwise approach to implementation of REDD+.** Mozambique has chosen to adopt a stepwise approach to REDD+ implementation, working on REDD+ Readiness nationally, but at the same time developing a sub-national Emissions Reduction Programme (and corresponding sub-national Forest Reference Level) in 9 Districts in Zambezia Province, as described above. The choice of this particular area for the ERP is justified by its considerable potential for emissions reductions and for biodiversity conservation.

➔ *TAP Conclusion: adopting a step-wise approach to developing Mozambique's REDD+ strategy, FREL/FRL and ER Program, improving the quality of data and expanding the scale to national over time, appears justified by the circumstances of the country. The combination of considerable potential for both considerable greenhouse gas emissions reductions and sizable REDD+ co-benefits (biodiversity as well as socioeconomic co-benefits), and the limited risk of "leakage" of emissions to other parts of the country (given that most emissions are caused by small-scale shifting cultivation) should provide additional reassurance to those supporting the country's REDD+ efforts.*

15. With the exception of the description of the participatory self-assessment process, which was very short, the quality of Mozambique's R-Package Report met the expectations of the TAP reviewer. Notwithstanding the brevity of the description of the process itself, the R-Package Report provides an excellent account of the substantive results of the self-assessment process conducted, and of the work that remains to be done to consolidate the REDD Readiness phase. The readiness scores are mainly green and yellow, indicating that the REDD+ Readiness process is making good progress.

➔ *TAP Conclusion: the Mozambique R-package report provides a comprehensive overview of the advancement of REDD+ Readiness in the country. While the description of the modalities of the self-assessment process was lacking in detail, the results of the process were well-covered, and provided valuable inputs for the government's work plan for the remainder of the REDD Readiness phase, which is also included in the R-Package report.*

TAP Review Part B: summary of the REDD+ Processes – Strengths and Weaknesses of the R package as highlighted by Mozambique's self-assessment

This part of the TAP review focuses on the self-assessment results; progress indicators (color scores) for the nine subcomponents, significant achievements and areas requiring further development.

16. The R-package and the documents referenced therein provide ample documentation to assess Mozambique's progress with REDD+ Readiness and the perceptions of most of the country's REDD+ actors on progress achieved

and challenges remaining.⁶

17. The R-Package report has no Executive Summary. This was a useful element of the R-package reports of some of the other countries that have already gone through the review process, laying out clearly the areas where additional work towards REDD+ Readiness is needed. Nevertheless, this is not a serious shortcoming, as the remaining Readiness work is clearly laid out in Chapter 5.
18. The chapters describing progress achieved for each of the REDD+ Readiness sub-components are well-structured, with a clear description of work done so far, followed by a section with “Relevant Documents for consultation”, which are all hyperlinked to the Mozambique REDD+ website for convenience, and ending with a short section “Assessment”, that is of progress achieved. The Assessment sections clearly describe the perceptions expressed at the self-assessment workshop, also where these differ from the government view, which is commendable. The website itself is fully up to date, including with participants’ lists of the most recent consultation meetings. Additional documents consulted by the TAP Expert – other than those referred to in the R-Package report – to assist the review are listed in the final section of the document. In the following, progress with each the different REDD+ Readiness components and sub-components is reviewed on the basis of the afore-mentioned self-assessment report.

➔ *TAP Conclusion: the R-package report, in combination with the documents referenced in it, gives a good idea of REDD Readiness progress in Mozambique and of the perceptions of the key stakeholders that participated in the self-assessment workshop.*

19. The overall Readiness assessment compiled in Table 1 below summarizes progress achieved for each of the REDD+ Readiness sub-components since the MTR in 2015 (second column), differentiating between color scores assigned by the government (FNDS, third column) and those assigned by the REDD+ stakeholders during the self-assessment workshop (fourth column). Both these sets of scores demonstrate significant progress since the MTR, though the scores of the self-assessment workshop are somewhat more conservative (5 yellow and 4 green) than those of the government (2 yellow and 7 green).

⁶ As noted above, no NGOs were present in the R package self assessment workshop, though they had been actively involved throughout the REDD+ Readiness process so far.

Table 1. Summary of the results of Mozambique's self-assessment by REDD+ Readiness sub-component and progress achieved since MTR

Criteria	MTR	FNDS	Workshop
Subcomponent 1a - National REDD+ Management Arrangements	GREEN	GREEN	YELLOW
Subcomponent 1b - Consultation, Participation, and Outreach	YELLOW	GREEN	GREEN
Subcomponent 2a - Assessment of Land Use, Land Use Change Drivers, Forest Law, Policy and Governance	YELLOW	GREEN	YELLOW
Subcomponent 2b - Strategy Options	GREEN	GREEN	GREEN
Subcomponent 2c - Implementation Framework	YELLOW	YELLOW	YELLOW
Subcomponent 2d - Social and Environmental Impacts	YELLOW	GREEN	GREEN
Subcomponent 3 - Reference Emissions Level	YELLOW	GREEN	GREEN
Subcomponent 4a - National Forest Monitoring System	YELLOW	YELLOW	YELLOW
Subcomponent 4b - Information system on multiple benefits, other impacts, governance, and safeguards	RED	GREEN	YELLOW

20. Since the results of the self-assessment workshop were not reported separately by stakeholder group – as was done for some other R-Package Reports – it was not possible to get an idea of any possible differences in the perceptions on REDD+ Readiness between the various stakeholder groups. Going forward, it would probably be helpful to assess whether any such differences exist between different stakeholder groups, and then take remedial action with those groups needing it. Presumably, there are also significant differences in Readiness between the Provinces where REDD+ investments are planned (Zambézia, Nampula, Cabo Delgado) and the other Provinces where this is not the case, but this is of course to be expected at this stage.

➔ *TAP Conclusion: from the documentation provided it is not possible to get an idea of the differences in the perceptions of REDD+ Readiness among the different stakeholder groups interested in REDD+ in Mozambique. During the remainder of the Readiness phase, it might be helpful to assess whether any such differences exist and take remedial action as needed.*

Component 1: Readiness, Organization and Consultation

Sub-Component 1a: National REDD+ Management Arrangements (Criteria 1-6, Government: Green; Stakeholder workshop: Yellow)

21. ***Institutional arrangements for REDD+***. Mozambique's REDD+ Readiness Preparation Proposal was approved by FCPF in 2012. The country received its first grant of US\$3.6 million from the FCPF Readiness Fund in 2013, and then an additional grant of US\$5 million in 2016. Initially, the responsibility for REDD+ was with the Coordinating Ministry for the Environment, MICOA. MICOA was reorganized after the 2014 elections, with the addition of the responsibilities for Land, Forests and Rural Development, in a Ministry called MITADER in early 2015. The REDD+ Technical Unit (UT-REDD+), which was legally established through Decree No 70/13 of December 20th 2013, first reported directly to the Minister of MITADER, but in 2016 it was placed under the Directorate for the Mobilization of Resources (PMR) of the National Sustainable Development Fund (FNDS), which has the responsibility for providing strategic guidance and coordinating the implementation of the REDD+ Programme. FNDS works closely with the technical directorates of MITADER, especially the National Directorate of Forests (DINAF), the National Directorate of Land (DINAT), the National Agency for Environmental Quality Control (AQUA) and the National Agency of Conservation Areas (ANAC). FNDS also liaises regularly with other relevant Ministries such as the Ministry of Agriculture and Food Security (MASA) and the Ministry for Mineral Resources and Energy (MIREME).
22. The above-mentioned 2013 decree also established a Committee for Technical Review (CTR), which functions as the National REDD+ Steering Committee. The CTR includes representatives from the Ministry of Culture and Tourism, Ministry of Gender, Ministry of Education, Child and Social Action, Ministry of Industry and Commerce, Ministry of Economy and Finance, Ministry of State Administration and Public Function, Ministry of Justice, Constitutional and Religious Affairs, and Ministry of Mineral Resources and Energy, as well as by representatives from the private sector, NGOs and research institutions. There is no information on the functioning of the CTR or the frequency of its meetings in the R-Package report.
23. Two other Institutional coordination arrangements have been set up for REDD+ at national level: the Forest Investment Program (FIP) National Steering Committee (established) and the DGM (Dedicated Grant Mechanism, linked to FIP) Steering Committee (in process). The FIP Steering Committee membership includes government organizations, the private sector, research institutions and civil society organizations, and appears to have a dual strategic and operational remit. On the one hand, it "has the overall mandate to support PMR (FNDS's finance unit) in strategic decision-making around the FIP", but on the other, it will also "coordinate activities under the overarching investment plan; provide inputs to the annual work plans, budgets and reports; ensure alignment between the FIP and other government programs; liaise with development partners and relevant

stakeholders; and advise on strategies and mechanisms for conflict resolution and improved management of forest resources”. Concerning the overall strategic oversight, the division of labor between the CTR and the FIP National Steering Committee is not explained. The government itself also scored criterion 3, Multi-sector coordination mechanisms and cross-sector collaboration, yellow – in contrast to criteria 1-2 and 4-5, which were scored green. So there is still some way to go on improving cross-sectoral coordination.

24. At provincial level, multi-stakeholder forums have been set up in Zambézia and Nampula, which include private sector, government and NGO representatives, and which play a key role in discussing and disseminating initiatives to reduce carbon emissions and increase carbon stocks. They are animated by Provincial REDD+ focal points reporting to UT-REDD+ in Maputo. In Cabo Delgado Province, the previously existing Technical Group on Natural Resources fulfills a similar function.
25. The assessment of this sub-component differed between the government and the self-assessment workshop, the former scoring it green and the latter yellow. The participants in the self-assessment workshop commented that there is a lack of understanding of the respective roles in implementation of the UT-REDD+/FNDS vis-à-vis the other state bodies involved. In their view, UT-REDD+/FNDS should be in charge of coordination, supervision and monitoring, and the mobilization of implementing partners – and leave implementation to the sectoral directorates and local government. The corollary of this is that these other government departments will need to internalize their obligations and responsibilities under the REDD+ Program.
26. In the view of the government, this problem is in part due to the institutional realignments discussed in paragraph 21 above, and is in any case more an issue for REDD+ implementation than for Readiness, hence the green score. Despite the different scores, there is a consensus that this issue merits further work as Mozambique moves towards REDD+ implementation. The review of the national REDD+ strategy, planned for 2017, would appear to provide a good opportunity to clarify institutional roles and responsibilities in consultation with all the REDD+ stakeholders.
27. **Accountability and transparency.** UT-REDD+/FNDS has made significant progress in developing consultation mechanisms that are accountable and transparent. All REDD+ related information (e.g. study reports, REDD+ consultation meeting minutes and participants’ lists, public notices) is made available through Mozambique’s REDD+ website.⁷ The UT-REDD+ has routinely circulated documents for public comment and suggestions, and has revised the documents accordingly. Further improvements requested during the stakeholder self-assessment workshops included the production and dissemination of simplified communication materials – see also comments on sub-component 1b below..

⁷ <http://www.redd.org.mz/>

28. Overall, despite some unevenness in the progress achieved – especially in criterion 3, Multi-sector coordination mechanisms and cross-sector collaboration, and in Provinces not included in the ERP area or other REDD+ activities – and the different color scores assigned by the government and the self-assessment workshop, Mozambique was deemed to have made significant progress under sub-component 1a.

➔ *TAP Conclusion: the work on National REDD+ Management Arrangements in Mozambique has benefited from the strong leadership of the new government elected in 2014, which has articulated a clear vision for improving forest resource management in the country and which has made good progress with the preparation of REDD+ emissions reductions programs in several Provinces. At the self-assessment workshop, stakeholders commented that the division of labor for REDD+ implementation between the UT-REDD+/FNDS and the technical sector agencies was not clear, and that it would be better for the former to concentrate on coordination, monitoring and supervision, and the mobilization of new implementation partners. Such divergent views may cause problems as the country moves towards implementation of emissions reductions programs at scale, so it would be important to address this issue. The review of the national REDD+ strategy, planned for 2017, provides a good opportunity for doing so. Overall progress achieved warranted a green score for sub-component 1a in the government's view. The yellow score attributed by the stakeholder workshop is, according to the government, more related to implementation issues than to readiness issues. As noted in the R-Package report, the recent transfer of UT-REDD+ from MITADER to the newly reformulated FNDS has probably not helped to clarify the division of responsibilities for REDD+.*

29. Feedback and grievance redress mechanism (criterion 6). A Feedback and Grievance Redress Mechanism (FGRM) for the FIP and DGM has been finalized under the Process Framework⁸, which is one of the safeguards instruments that are required by the Forest Carbon Partnership Facility for countries participating in REDD+. The preparation of the Process Framework, including the FGRM, has benefited from broad consultation with REDD+ stakeholders, especially forest-dependent communities in Zambezia and Cabo Delgado Provinces, whose livelihoods are likely to be affected by the planned REDD+ investments there. The FGRM relies as much as possible on local conflict resolution mechanisms, through the customary chiefs (“regulos”) and community courts where these are duly established, but also creates a channel for expressing grievances that cannot be resolved at that level through the MITADER hierarchy.⁹ The participants at the self-assessment workshop argued that the structures created for FGRM will need to be tested in practice, and that the tools for FGRM contained within the safeguards should be made more user-friendly.

➔ *TAP conclusion: according to the R-Package Report, the Feedback and Grievance Redress Mechanism, which was published as part of the draft Process Framework (a*

⁸ The Process Framework was cleared by the World Bank and publicly disclosed in January 11th 2017 and can be accessed through http://www.redd.org.mz/uploads/SaibaMais/ConsultasPublicas/MozFIP_DGM_Process%20Framework%20Addendum%20to%20MozBio%20PF.pdf

⁹ There is a slightly different institutional path for resolving grievances under DGM FIP.

safeguard instrument required by FCPF) is well advanced. As noted by the participants in the self-assessment workshop, it will require testing in practice – and some of the tools may need to be made more user-friendly.

Sub-Component 1b: Consultation, Participation and Outreach (criteria 7-10, Government: green, stakeholder workshop: green)

30. Inclusion of stakeholders through an extended consultation, information and participation process (criteria 7, 8 and 10).

This section provides a good overview of the extended REDD+ consultation process that has been conducted in Mozambique. Between March 2013 and November 2016, the government held 61 consultation meetings: 27 at national, 24 at provincial and 10 at community level, with a total of 959, 1,612 and 799 participants respectively. Overall, 3,370 stakeholders (of which 978 were women) participated in these meetings and the participants' lists are posted on the REDD website. The provincial consultations were held in six out of the 10 provinces of Mozambique: the three Provinces where REDD+ investments are planned (Zambézia, Cabo Delgado and Nampula), as well as Sofala, Gaza and Maputo.

31. The guiding framework for the consultations consisted of Mozambican regulations¹⁰ and of FCPF requirements for effective stakeholder engagement. Specific attention was paid to the engagement of women and other vulnerable groups, by organizing separate consultations with adults, young people, the elderly and women, to ensure better participation of all stakeholder groups.¹¹

32. Quality of civil society participation. Table 3 on page 17 of the R-Package report, "Main themes consulted on", provides convincing evidence on the quality of the consultation process, listing not only the themes consulted on but also examples of community concerns (differentiated by age and gender) and suggestions. It demonstrates clearly that the consultations went beyond simple information sharing, asking stakeholders to express themselves on whether REDD+ could be implemented as planned, and to provide suggestions for improvement. As a result, these consultations generated a wide range of questions, recommendations and concerns, all of which were recorded and taken into consideration in the elaboration of the REDD+ strategy.

33. The guiding framework for the consultations consisted of Mozambican regulations¹² and of FCPF requirements for effective stakeholder engagement. Specific attention was paid to the engagement of women and

¹⁰ Principally, the Decree No 73 of 2013, establishing the regulatory framework for REDD+ and the « Diploma Ministerial » 158 of 2001.

¹¹ See table 5 on page 18 of the R-package report providing data on the participation of these different groups at 9 community-level consultations held in Cabo Delgado, Zambezia and Gaza Provinces.

¹² Principally, the Decree No 73 of 2013, establishing the regulatory framework for REDD+ and the « Diploma Ministerial » 158 of 2001.

other vulnerable groups, by organizing separate consultations with adults, young people, the elderly and women, to ensure better participation of all stakeholder groups.¹³

- 34.** The National Steering Committee for FIP, with its two Chambers (Deliberative and Consultative) and its diverse membership, provides a key platform for multi-stakeholder participation in developing REDD+ Readiness in Mozambique. The Deliberative Chamber of the NSC is composed of Natural Resources Management Committee (CGRN) members (6 chairs) and local civil society representatives (5 chairs), whereas the Consultative Chamber – which provides multi-disciplinary advisory and advocacy support – is formed by Academia (2 chairs), Government (3 chairs and 1 from FNDS/FIP Coordination), national and international NGOs (minimum 6 chairs) and the World Bank (1 chair). The Deliberative Chamber was elected in Landscape Fora, thus guaranteeing adequate geographic representation, from a pool of CGRN members (who, as local community leaders, represent vulnerable groups) and civil society representatives. The Consultative Chamber members were subsequently selected by the Deliberative Chamber.¹⁴
- 35.** Two Landscape-level platforms have been established in Zambezia and Cabo Delgado Provinces, where large REDD+ projects are under development. The objective of these platforms is to promote and facilitate discussion, negotiation and joint planning of REDD+ initiatives, through quarterly meetings among key actors, including community leaders, civil society, development agencies, government and investors.
- 36.** The participants in the R-package self-assessment workshop, while admitting that much progress had been made on consultation, participation and outreach (score: green), commented that UT-REDD+ should step up its (already considerable) efforts to involve women. They also suggested that UT-REDD+ clarify how the consultations had influenced the REDD+ readiness elements and the landscape-level REDD+ investments under preparation.
- 37. Information sharing and accessibility of information (criteria 9).** In addition to the extensive face-to-face consultations summarized above, Mozambique has also conducted a significant outreach effort through the REDD+ website and a Facebook page, which have been used to disseminate information, but also to invite people to participate in consultations. Recognizing the limitations of the internet in reaching the forest-dependent communities who are likely to be most affected by REDD+ investments, the UT-REDD+ has also developed broadcasts for community radio stations on the reduction of deforestation and forest degradation, through conservation agriculture and sustainable use of biomass energy. Theatre shows on the same themes and on uncontrolled fires were also organized to increase

¹³ See table 5 on page 18 of the R-package report providing data on the participation of these different groups at 9 community-level consultations held in Cabo Delgado, Zambezia and Gaza Provinces.

¹⁴ The role of the National Steering Committee in Mozambique is played by the “Committee for Technical Review” (CTR). For further details, see pp 19-20 of the R-package report.

awareness at community level. Nevertheless, the information dissemination to the communities has been recognized as the weakest element in the REDD+ communication strategy. Therefore, one of the key tasks of the REDD+ Project Implementation Units that are to be established in the Landscapes will be to create more permanent forums for dialogue between local communities and government technical staff, and to allow for a greater flow of information, using appropriate language in both formal and informal encounters.

➔ *TAP Conclusion: UT-REDD+ has invested considerable energy and resources to enable a variety of key stakeholders to have a say in the development of REDD+ Readiness. While it has systemically sought to involve those stakeholder groups whose livelihoods would be most directly affected by REDD+ implementation, the self-assessment workshop participants deemed that additional efforts should be made to engage women more fully in the REDD+ process. They also suggested that UT-REDD+ clarify better how the various consultations had influenced the REDD+ Readiness elements and investment plans.*

Component 2: REDD+ Strategy Preparation

Sub-Component 2a: Assessment of land use, land use change drivers, forest law, policy and governance (criteria 11-15, government: green, stakeholder workshop: yellow)

38. **Analysis of drivers of deforestation and forest degradation.** Land use change including deforestation represents 80% of Mozambique's national greenhouse gas (GHG) emissions. A study completed in 2016 by CEAGRE and Winrock estimated the deforestation rate for 2000-2012 at 138,302 hectares per year (0.23%), which represents about 12 MtCO₂ of GHG emissions per year. Deforestation rates were highest in the North of the country (0.29%), followed by the Centre (0.24%) and the South (0-10%). Most of the emissions (60%), however, came from the Centre, where the forests are densest.
39. The CEAGRE/Winrock study proceeded through 4 stages to quantify deforestation and forest degradation and their causes and develop strategies to reduce them, as follows: (1) identification of drivers; (2) Analysis of historical deforestation and classification of districts on the basis of forest status and human population; (3) Quantify the agents and the importance of each driver, and quantify the resulting emissions; and (4) Develop strategies to address the different drivers. Seven drivers of deforestation and forest degradation were identified and quantified: (i) commercial agriculture; (ii) subsistence agriculture; (iii) timber extraction; (iv) fuelwood and charcoal production; (v) urban expansion (including infrastructure development); (vi) mining; and (vii) livestock-raising.¹⁵ The study concluded that the major drivers of forest loss and degradation are agriculture and to a lesser extent urban expansion and infrastructure development, energy and forestry. Land

¹⁵ The explanation of the methodology was not included in the R-package report, which focused on quantitative results of the study.

clearing for subsistence agriculture represents 65% of total forest-related GHG emissions. Urban expansion, together with infrastructure development, is the second most important cause of forest-related carbon emissions, accounting for 12% of the total. Charcoal exploitation (7%) and unsustainable (and often illegal) logging (8%) are further causes of forest-related carbon emissions. Mining is currently a minor driver, but it has grown more important recently. Many of these drivers act in combination or in sequence, making it hard to separate the impact of individual drivers. For example, access roads established for logging purposes sometimes open up forest areas to land clearing by small-scale farmers.

40. Underlying causes of deforestation and forest degradation include natural resource governance (discussed in paras 43-46 below), sociocultural and demographic aspects, and economic and technical factors. For example, the pressure exerted by small-scale agriculture is increased by limited access to markets and technologies that enhance productivity, and by the use of fires – which often get out of control – to prepare farm fields for cultivation. The CEAGRE/Winrock study concluded that deforestation and forest degradation are likely to increase in the coming decade, if no measures are taken to counter them. It identified a number of actions that have potential to reduce the deforestation and forest degradation rate, including direct actions to avoid deforestation (e.g. promoting conservation agriculture as an alternative to shifting cultivation, alternatives for biomass energy, improved control of illegal logging) and indirect actions that can help reduce the impact of specific drivers, such as clarifying land and forest use rights and improving natural resources governance.¹⁶

➔ *TAP Conclusion: The R-package report provides a good summary of the quantitative findings of the CEAGRE/Winrock 2016 study on direct drivers and underlying causes of deforestation and forest degradation in Mozambique. The methodology used for the analysis and prioritization of direct drivers and underlying causes of deforestation and forest degradation is not described in the R-Package report, but it is clearly explained in the above-mentioned study, the report of which (in Portuguese) is posted on the [redd.org.mz](http://www.redd.org.mz) website.*

41. ***Natural resources rights, land tenure, governance and implications for forest laws and policies.*** The importance of these issues for REDD+ Readiness was first analyzed in the Nemus/Beta report in 2015, as part of a review of the legal framework carried out under the first FCPF grant. The analyses completed for the Strategic Environmental and Social Assessment threw additional light on these issues. While the extant policy and legal framework for the forest sector promotes forest conservation in principle –

¹⁶ For further detail on this topic, see the April 2016 report (in Portuguese) accessible through <http://www.redd.org.mz/uploads/SaibaMais/ConsultasPublicas/Estudo%20sobre%20Causas%20Directas%20e%20Indirectas%20do%20Desmatamento%20e%20Degrada%C3%A7%C3%A3o%20Florestal.pdf> - NB the hyperlink to this report in the R-package report is not working. The technical annexes included in the TOC are not included in the document posted on the website.

although its implementation leaves much to be desired, see below – the policy and legal frameworks for other sectors such as agriculture, energy and mining, which cause considerable deforestation and forest degradation, do not have any obligation to conserve forests. So reform of these frameworks will be a high priority for the implementation of Mozambique's REDD+ strategy.

42. Forest law enforcement in the field has been hampered by a limited knowledge of legislation and procedures, a lack of human and material resources, low mobility of enforcement personnel in the provinces and districts; and corruption problems. The mandates of the institutions that directly or indirectly affect forests are often unclear and sometimes contradictory, especially at the level of provinces and districts. This situation is exacerbated by the limited knowledge of the mandates and procedures of these institutions, and by the lack of effective cooperation and coordination at the provincial and district level.
43. The most important resource tenure issue for making REDD+ effective in Mozambique is the need to harmonize the legal right to use and benefit from the land (DUAT) and the legal right to use and benefit from the forests. The DUAT does not confer to national holders and rural communities the right of access to forest resources except for subsistence purposes. The commercial use of forest resources by local communities, even within registered common property areas, requires state authorization. The state also unilaterally decides on private-sector applications for forest concessions in community areas. REDD+ implementation efforts will need to dedicate special attention to district and community-level land planning, zoning and registration, to secure the rights of local land holders (whether they be farmers or communities) and provide them with an incentive to engage in reducing deforestation and degradation.
44. A study concerning land tenure in the Zambezia Landscape is currently under preparation. The objective is to assess how Mozambique can address land tenure and governance in the context of a REDD+ Emissions Reduction program. The study will also consider the link between tenure and benefit sharing. The outputs of this study, while focused on the provincial level, will generate important lessons for implementing REDD+ at national level as well.
45. **Carbon rights.** The lack of a legal definition of carbon rights was identified by the REDD+ study on the legal and institutional framework (Nemus/Beta 2015) as a major gap in the extant policy and legal framework for REDD+ in Mozambique. The issue of carbon rights is also highlighted in the R-Package report as an issue that needs to be addressed, specifically through a legal text on the topic required by the 2013 REDD+ Decree. The issue of carbon rights is not specifically mentioned in the Action Plan for implementing the REDD+ Strategy, though the Action Plan does have a priority strategic action on legal reform, which makes reference to the recommendations of the Nemus/Beta 2015 study – so it is presumable covered there.

➔ *TAP Conclusion: the issues of governance, land tenure and related resource use rights have been adequately addressed in the REDD+ Readiness process, in a specific study on the legal and institutional framework for REDD+ completed in 2015 and in the draft SESA that was issued in January 2017. Given the central importance of land and forest use rights for developing incentives and benefit-sharing mechanisms for REDD+, the government has now commissioned a more detailed study on these issues in Zambezia Province, where a major REDD+ emissions reduction investment is under preparation. The issue of the lack of a legal definition of carbon rights was highlighted in the 2015 legal study, and is again emphasized in the R-Package report as needing resolution through the adoption of a legal text required by the 2013 REDD+ Decree, but it is not specifically mentioned in the REDD+ strategy and action plan. As far as the Readiness assessment of the sub-component is concerned, the government scored it green but some stakeholders scored it yellow. As the government noted, this yellow score may be due to the fact that the REDD+ strategy and action plan were approved in November 2016, and that stakeholders had not had the time to familiarize themselves with the documents prior to the January 2017 self-assessment workshop. .*

Sub-Component 2b: REDD+ Strategy options (criteria 16-18, Government: green, assessment workshop: green)

46. **REDD+ Strategy and Action Plan.** Mozambique's National REDD+ Strategy, along with an Action Plan for its implementation, was approved by the Council of Ministers on November 29th, 2016. The strategy incorporates the results of the four studies funded by the first FCPF grant: (i) study of the causes of deforestation and degradation of forests and strategic options to contain this deforestation; (ii) national definition of "forests"; (iii) strategic environmental and social assessment; and (iv) analysis of the legal and institutional framework for the implementation of REDD+ in Mozambique.
47. The Strategy uses a dynamic baseline for CO₂ emissions – where Business as Usual represents an increase in deforestation – and sets out the goal of reducing those emissions by a total of 170 MtCO₂ by 2030. The overall objective of the REDD+ Strategy is “Promoting integrated multi-sectoral interventions to reduce carbon emissions associated with land use and land use change through adherence to the principles of sustainable management of forest ecosystems (natural and planted) contributing in this way to global mitigation, climate change adaptation efforts, and integrated rural development.” The six objectives of the strategy are: (i) establish and institutional and legal platform for inter-institutional coordination that ensures the reduction of deforestation; (ii) promote sustainable alternative practices to shifting agriculture, which increased productivity of subsistence and cash crops; (iii) increase access to alternative sources of energy in urban areas and increasing the efficiency of biomass energy production and use; (iv) strengthen the protected area system and find secure ways of generating income for it; (v) promote sustainable forest management through the system of forest concessions, community management and strengthening forest governance; and (vi) establish a favorable environment to increase planted area, forest business, restoration of natural forests and planting of trees for various purposes. The national REDD+ Strategy identifies a total of 60 strategic actions to achieve these objectives.

48. The REDD+ Strategy is to be implemented over a period of 15 years, in three phases: Phase 1 (2016-2019): preparing the environment and experimentation for sustainable governance of natural resources; Phase 2 (2020 – 2024): implementation and scaling up of investments to consolidate the actions for reducing deforestation and forest degradation; and Phase 3 (2025-2030): consolidation and evaluation of performance and payment for results of emissions reduction from deforestation and forest degradation. Six key risks to REDD+ strategy implementation were identified by the SESA: (i) weak adoption of alternative technologies in agriculture, tree planting and energy use; (ii) lack of clear mechanisms for compensation and recognition of forest carbon rights; (iii) weak support of extension services; (iv) lack of inter-institutional coordination or lack of involvement of key actors to implement actions to reduce deforestation and forest degradation; (v) land conflicts and encroachment of rights over land; and (vi) lack of capacity of the institutions involved.
49. As noted in the R-Package report, one of the key ways of reducing many of these risks is to ensure that policy options identified to reduce deforestation and degradation are adopted by other sectors. This process is already underway in the agriculture and energy sectors, e.g. through policies promoting conservation agriculture, siting commercial agriculture in low forest cover areas and enhancing production and efficient use of biomass energy. But the stakeholder workshop emphasized the need for each sector to take greater ownership of the REDD+ process, and incorporate the practical REDD+ activities into their sectoral plans.

➔ *TAP Conclusion: the R-package report clearly describes the objectives for Mozambique's REDD+ Strategy, and the risks to its implementation. The explicit definition of the risks to the successful implementation of the REDD+ Strategy at this stage is a good practice that should be shared with other REDD+ countries. It will be very helpful for the management and the monitoring of the REDD+ investment phase. Some of the risks to the success of REDD+ are already being mitigated, by ensuring that policy options identified to reduce deforestation and degradation are adopted by other sectors, a process that is already underway in the agriculture and energy sectors – though greater ownership and practical follow-through will be required from these sectors as the country moves towards REDD+ implementation. Both the government and the self-assessment workshop scored this sub-component "green", confirming that significant progress has been made on the REDD+ strategy options.*

Sub-Component 2c: Implementation Framework (criteria 19-22, both government and self-assessment workshop: yellow)

50. ***Adoption and implementation of legislation/regulations (criteria 19 and 20).*** Mozambique has a progressive legal framework for the promotion of sustainable forest management. Its implementation, however, has had mixed results. This indicates a need for an assessment of the incentives facing forest users under the current system, as well as the costs and barriers associated with compliance. The main legal instrument concerning REDD+ is the "Regulation of the procedures for the approval of projects for reducing

emissions from deforestation and degradation" approved by Decree No. 70/13. This Decree highlights briefly the key components of the REDD+ implementation mechanisms, including those concerning carbon rights, benefit sharing, REDD+ financing mechanisms and procedures for the approval of projects. The Decree stipulates the creation of additional, complementary legal instruments, e.g. on carbon rights and benefit sharing, but this has not yet happened.

➔ *TAP Conclusion: the changes needed in Mozambique's legal and regulatory framework for successful REDD+ implementation are coherently explained in the REDD+ Readiness study (Nemus/Beta 2015), and included in the R-Package report on carbon rights (though not fully reflected in the R-package report), covering both the legal instruments concerned and the specific modifications required..*

51. **Benefit sharing mechanism (criterion 21).** As noted above, the benefit sharing mechanism (BSM) is referred to in the 2013 REDD+ Decree, but the specific decree ("Diploma Ministerial") on the BSM stipulated in the 2013 Decree has not yet been issued. ETC Terra, a consultant, has been commissioned to design a BSM that will be piloted in the Zambezia Landscape Program, and that can then be scaled up to other REDD+ projects, or nationwide. Nevertheless, the BSM Decree should also be prepared during the current Readiness phase, including means for ensuring transparency in benefit sharing. As noted in the R-Package report, the design of the REDD+ BSM should take into account lessons learned from existing benefit sharing mechanisms in the forestry sector. The Forest and Wildlife Law of 1999 identifies the principles of local community participation in sustainable natural resource management in and outside protected areas. Ministerial Decree No 93 introduced in 2005 stipulates that 20% of forest and wildlife concession fees should go to Local Natural Resource Management Councils (CGRN) representing local communities resident in the concession area, but the funds have not always been well used, mainly due to lack of local level capacity.¹⁷ The 1999 Law also stipulates that 50 % of fines paid for forest infractions should be distributed amongst the persons involved in the apprehension of the perpetrator, including local community informants. This too has however been only infrequently implemented in practice.

➔ *TAP Conclusion: further work is necessary to define the modalities of the REDD+ Benefit*

¹⁷ NB GEF project 5516 "Payment for Ecosystem Services to Support Forest Conservation and Sustainable Livelihoods" was approved in late 2016 for a GEF grant of 3.6 million USD, and could also provide inputs for the design of the REDD+ BSM. This project, which will be implemented in the same districts in Zambezia Province where the REDD+ Landscape investment is planned, aims to promote biodiversity conservation and climate change mitigation in miombo forest ecosystems, through the improvement of the existing forest and wildlife revenue sharing mechanism in a way that supports sustainable use and conservation of forests and wildlife and improves local peoples' livelihoods. It also aims to make the 20% revenue share for local communities conditional on their environmental performance, in order to align it with REDD+. See <https://www.thegef.org/project/payment-ecosystem-services-support-forest-conservation-and-sustainable-livelihoods>

Sharing Mechanism (BSM), and to develop the legal instrument on BSM required by the 2013 REDD+ Decree. Lessons learned from the application of the existing legal provisions for sharing the benefits of forests and wildlife with local communities could provide useful information for this. The government and the self-assessment workshop agreed on a yellow ranking for this criterion.

52. National REDD+ registry and system monitoring REDD+ activities

(criterion 22). Mozambique does not have a national geo-referenced REDD+ registry as yet. Such a registry would hold a comprehensive set of data (location, ownership, carbon accounting and financial flows for the national and sub-national REDD+ programmes and projects) to monitor REDD+ performance and transactions, and avoid double counting of emissions reductions. Currently, there is only an initial database of REDD+ projects that was initiated a few years ago by MICOA. The government intends to include the creation of the registry in a technical assistance contract it is negotiating with FAO, funded by MozFIP. The government expects the contract to be signed shortly, and the registry to be finished by the end of 2017. Once it is finished, part of the information in the registry will be accessible for public consultation. As noted by the participants in the self-assessment workshop, it will be essential to harmonize the different forest-related information platforms, i.e. the REDD+ Registry, the REDD+ MRV system and the Forest Information Platform that JICA is supporting. Both the government and the self-assessment workshop scored this criterion yellow.

➔ *TAP Conclusion: work on Mozambique's national REDD+ Registry will continue under the MozFIP Project. The government expects the Registry, parts of which will be accessible for public consultation, to be operational by the end of 2017. Harmonization of the various forest-related information platforms will be a priority going forward.*

Sub-Component 2d: Social and Environmental Impacts (criteria 23-25, both Government and self-assessment workshop: green))

53. SESA, ESMF and Process Framework. Mozambique's REDD+ Program will trigger seven of the 10+2 World Bank Operational Safeguards Policies, namely, Environmental Assessment (OP/BP 4.01), Pest Management (OP 4.09), Involuntary Resettlement (OP/BP 4.12), Natural Habitats (OP/BP 4.04), Forests (OP/BP 4.36), Physical Cultural Resources (OP/BP 4.11) and pre-emptively Safety of Dams (OP/BP 4.37).

54. The Strategic Environmental and Social Assessment (SESA), the Environmental and Social Management Framework (ESMF) and the Process Framework, funded by the FCPF Readiness Fund, are safeguard instruments required by the above-mentioned World Bank Policies. These safeguard instruments aim to ensure effective management of social and environmental issues, continuing into the REDD+ Implementation and Payment for Results phases. As has been the case in many countries, the SESA in Mozambique was carried out at a relatively early stage before the REDD+ strategy had been

finalized. This led to a high degree of integration of the concerns raised during the SESA stakeholder consultations in the final version of the REDD+ strategy.

55. Apart from the World Bank Operational Safeguards Policies, the preparation of the safeguard instruments took into account the 2010 Cancun decisions on environmental and social safeguards for REDD + implementation, the national legal framework and international conventions to which Mozambique is a signatory.
56. The final drafts of SESA, the ESMF and the Process Framework were completed in January 2017, after nearly two years of work. ESMF and Process Framework have since been cleared by the World Bank, whereas the SESA will go through one more round of stakeholder consultation and comments prior to its final submission in March 2017. Starting in 2015, an extensive consultation process was conducted to develop this set of safeguard instruments. A total of 44 Public Consultation meetings involving 1904 participants, of which 664 were female, were held in six Provinces. The consultation process was used to explore issues around the drivers of deforestation and forest degradation, land use and land tenure, social and environmental protection and sustainable forest management.
57. The ESMF is defined as a guide to the screening of the proposed program interventions to ensure that they do not negatively affect the natural and social environment. It is an essential tool for programs where the precise locations where activities will be implemented are not yet known. The R-Package report explains the basic principles underlying the ESMF, and the modalities and outcomes of the screening process.
58. Though REDD+ activities are not expected to have significant resettlement implications other than displacement of economic activities (which are also covered under the World Bank Operational Safeguard Policy on Resettlement), the Resettlement Policy Framework (RPF) will ensure that involuntary resettlement (including loss of livelihood activities) is avoided where feasible, or minimized, exploring all viable alternative project designs. Where it will not be feasible to avoid resettlement, a Resettlement Action Plan (RAP) will be prepared and disclosed accordingly.

➔ *TAP Conclusion: the SESA, ESMF and Process Framework are safeguard instruments required by the World Bank Operational Safeguard Policies. The final drafts of the three safeguard instruments were finalized in January 2017 after an extensive consultation process taking nearly two years. ESMF and Process Framework have since been cleared by the World Bank, while the SESA will go through one final round of stakeholder comments, before its final submission in March 2017. Concerns expressed in SESA stakeholder consultations have been fully incorporated in the REDD+ strategy. Both the government and the self-assessment workshop scored this sub-component green.*

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Component 3: Forest Reference Emissions Levels/Forest Reference levels (criteria 26-28, Both government and self-assessment workshop: green)

59. The Forest Reference Emission Level (FREL) and Forest Reference Level (FRL) (both expressed in tonnes of carbon dioxide equivalent) are benchmarks for assessing a country's performance in the implementation of REDD+ activities.¹⁸ A FREL/FRL is required in order to access performance based payments, as the performance of a REDD+ initiative would be measured by comparing actual GHG emissions and removals with a defined level of GHG emissions or removals (historical emission level or the projected business as usual, BAU, scenario).
60. Mozambique's FREL/FRL will consider three different levels: National, Provincial (Programs) and Local (Projects) with a top-down approach from National to Provincial (Programs) and Local (Project) level but at the same time integrating lower level data at the higher levels. Procedures for MRV and Reference Emissions Levels will be harmonized between subnational and national levels to ensure consistency.
61. The REDD+ activities Deforestation, Forest Degradation and Enhancement of Carbon Stocks will be included in the FREL/FRL. In Mozambique's national REDD+ Strategy, these are defined as follows: **Deforestation** is the *conversion, directly induced by man, of land with forest to land without forest (it will be considered the national forest definition: a reduction in canopy cover from above the threshold for forest definition, 30% to below this threshold);* and **Forest degradation** is the *long-term reduction of canopy cover and/or carbon stock that leads to a reduction in the provision of benefits from the forest, which includes timber, bio-diversity and other products and services. This reduction is through logging, burning, cyclones and others, provided that canopy cover remains above 30%.*¹⁹ **Enhancement of carbon stocks** is the opposite of degradation. In order to be conservative, it will not be measured in non-forest land. **Non-CO2 emissions from forest fires** constitute an independent emission source according to IPCC's 2006 Guideline. Since most forest fires are caused by humans, this emission source will also be assessed.
62. CO2 emissions are calculated by multiplying Activity Data (AD) with the appropriate Emissions Factors (EF). 'Activity data' refers to the extent (in hectares) of a category of forest loss or degradation. Practically speaking, therefore, activity data is referred to as area data. 'Emission factors', also called carbon-stock-change factors by IPCC, refers to emissions/removals of greenhouse gases per unit area, e.g. tons carbon dioxide emitted per hectare of deforestation.

¹⁸ FREL is the amount of gross emissions from a geographical area estimated within a reference time period. It is used to demonstrate emission reduction from avoided deforestation and forest degradation, while FRL is the amount of net/gross emission and removals from a geographical area estimated within a reference time period and is used to demonstrate emission reduction from conservation, sustainable forest management and enhancement of carbon stocks.

¹⁹ These definitions are aligned with those contained in UNFCCC Decision 16/CMP.1

63. Validity of the methodology chosen and compliance with IPCC/UNFCCC

instructions. UT-REDD+ is moving forward simultaneously with the establishment of a national and a sub-national Forest Reference Level (FRL), the former for the REDD+ Readiness phase and the latter for the Zambezia Emissions Reduction Program, for which a Purchase Agreement with the FCPF Carbon Fund is planned.²⁰

- 64.** The FCPF Carbon Fund Methodological Framework (CF MF) requires spatially explicit tracking of land-use conversions over time (IPCC Tier 3 approach) and Mozambique agrees that this is the most appropriate to understand the drivers of deforestation and forest degradation and plan adequate mitigation activities. The land use tracking will be done through sampling, as it is capable of providing more accurate results than repeated wall-to-wall mapping. A land use and land use change map for 2016 will also be established to facilitate monitoring. The FCPF CF MF requires consistency between national and subnational FREL/FRLs. therefore the same approach will be used for the national FREL/FRL.
- 65.** During 2017, Mozambique will be developing, with the support of the FCPF, a national Forest Reference Emission Level /Forest Reference Level (FREL/FRL) based on a step-wise approach, as advocated by UNFCCC. This baseline will be reported to the United Nations Framework Convention on Climate Change by December 2017. It will incorporate, in different versions throughout 2017, the results of the AD analysis at the national level and the emission factors calculated through the implementation of the National Forest Inventory, and also integrate a preliminary sub-national FREL/FRL developed in Zambézia Province. Activity Data and Emission Factors will be subjected to an accuracy assessment as per the FCPF CF MF requirement. It will also integrate data from the ongoing National Forest Inventory, which will be instrumental for estimating the carbon content of the different carbon pools. A National Network of Permanent Forest Plots will be established in 2018 to deepen the knowledge of Mozambican forest ecosystems, including species composition, structure and dynamic. This will also allow repeated estimates over time of key carbon stocks and emission factors.
- 66.** All five biomass carbon pools (Above Ground Biomass, Below Ground Biomass, Dead Organic Matter – which includes two pools Litter and Dead Wood – and Soil Organic Carbon will be included in the FREL/FRL. As most wood is used for fuelwood and charcoal, which are short-lived products, no wood products will be accounted for. For the time being, the assessment of carbon pools will be done according to IPCC tier 2 methodology²¹, but once the NFI and the permanent plots inventory will have been completed, Mozambique will pass to IPCC tier 3 for carbon pools.

²⁰ The ER-PIN for this program has already been accepted into the pipeline of the Forest Carbon Partnership Facility Carbon Fund.

²¹ Under tier 2, default values (e.g. based on published literature) may only be applied for a carbon pool if it represents less than 15% of total carbon stocks.

67. **Use of historical data, no adjustment for national circumstances.** For determining its reference level, Mozambique will use the averages of historical deforestation, degradation and removals data, without any adjustment for national circumstances.²² It proposes to use the 2001-2016 period as the reference period, but this could be shortened to 2006-2016 if necessary.

➔ *TAP Conclusion: the national FRL that is under development in Mozambique aims to use the highest levels of the forest emissions measurement methodologies described by IPCC, which is commendable. This section of the R-package report describes the various technical issues and methodological choices involved in establishing the FREL/FRL in great detail, with regular insertion of tables summarizing the key issues. Both the government and the self-assessment workshop scored this component green.*

Component 4: Monitoring systems for forests and safeguards

Sub-Component 4a: National forest monitoring system (criteria 29-31, green)

68. **Overall framework for Monitoring, Reporting and Verification (MRV).** Like the Mozambican FREL/FRL, the MRV system will be articulated at three levels: National, Provincial and Local (or Project). Mozambique's national forest monitoring system will measure, report and verify the selected activities: deforestation, forest degradation and enhancement of carbon stocks (A/F) through the implementation of a Continuous Forest Inventory (National Forest Inventory and National Net of Permanent Plots) combined with Forest area change mapping (mainly through several Earth Observation Satellite (EOS) approaches). These results will be gathered and integrated at National Level, while providing access to the provincial and local levels.
69. Activity Data will be updated every 2 years (consistent with the biennial reporting set under the UNFCCC), but the annual reporting capacity will be generated at the MRV Unit (FNDS) and a new Land Use and Land Cover (LULC) map based on Sentinel-2 satellite imagery can be generated every 5 years. Emission Factors will be updated every 2 years with the survey of the National Net of Permanent Plots (48 plots should be surveyed each year). The NFI could be updated every 10 years to obtain global, complete and accurate forest information at the national level.
70. The only additional element in the NFMS, compared to the discussion of the FREL/FRL above, is the inclusion of participatory monitoring of forest status and ecosystem service delivery by local communities. As explained in the R-Package report (page 53-54), it will take careful consideration to ensure that such monitoring both adds value to the extensive data already collected for

²² This is also the standard approach required by the FCPF Carbon Fund Methodological Framework, though it does allow adjusted reference levels under certain circumstances.

assessing progress with REDD+ and to the local forest management efforts by the communities – without imposing high transaction costs on either government REDD+ staff or local people. Given the limited success of sharing aerial photographs and satellite imagery as a basis for dialogue with local communities, UT-REDD+ intends to experiment with having community meetings using high-resolution, recent Google Earth imagery that local people would find it easier to interpret and that could be used in village focus group discussions with better results. The issue of participatory monitoring will be discussed in more detail under sub-component 4b, Information system for multiple benefits, other impacts, governance and safeguards,

71. Work on the National Forest Monitoring System in Mozambique has advanced significantly. A detailed Monitoring, Reporting and Verification (MRV) Road Map and presentation have been posted online, as well as a document on the design of the M&MRV unit.
72. **MRV Workflow.** The lowest level of the proposed MRV system consists of projects or interventions that will have their own monitoring systems to collect relevant information for feeding the Provincial and National MRV systems. The information will include data reported by REDD+ projects (for example, forest inventories, project areas and detailed mapping of LULC classes), data reported by M&E systems (e.g. planted areas, etc.) and other relevant data (e.g. biomass surveys). All these data should be generated and reported in a consistent manner, so that they can be incorporated at the national level. This will be achieved by developing and disseminating data collection and reporting guidelines for projects. The provincial level will not collect data directly (other than information from relevant provincial programs), but will compile all primary and secondary data from the project level and then check and ensure that all data have been collected and reported following the defined standards or guidelines. Once compiled, provincial MRV units will communicate the data to the National level, where it will be processed for REDD+ reporting.
73. The National level will collect primary data and compile primary and secondary data coming from the Provincial level or directly from the Project Level. Additionally, two specific relevant national tasks will be implemented by the National MRV Unit at FNDS; (i) LULC and LULC change mapping, and (ii) forest inventory through the National Forest Inventory & the National network of permanent plots. With these data the MRV Unit of FNDS will produce official Activity Data, Emission Factors, revised RELs (with the corresponding uncertainties) at National, Provincial and Project Level. These processed data will be used to calculate the Emission Reductions in collaboration with the Provincial or Project level (it depends on the Program/Project). Provincial or Project entities will then include these calculations in their program monitoring report, calculating the Emission Reductions that are assigned to each project/intervention area, depending on the benefit sharing mechanisms that will be established.
74. **Organizational structure, responsibilities and competencies.** The

organizational structures that would fulfill these key MRV roles are: (i) A national MRV Unit at FNDS, which is a technical unit with 5 specialists with background in Remote Sensing and Forest Assessment; (ii) A national MRV Task Force (to be established) providing support and technical advice for the main components of the NFMS. The Task Force would also help to keep essential information flows with other key agencies (e.g. those in charge of land delimitation, topography mapping, soils) open; (iii) Provincial MRV teams with two specialist based at the UT REDD+ Provincial Coordination Units; and (iv) Project/Program Implementers, who will develop their own monitoring systems, respecting national standards.

➔ *TAP Conclusion: the development of the national forest monitoring system (NFMS) has advanced with clarification of responsibilities, workflows and institutional set-ups for monitoring at national, provincial and local level, but more work needs to be done on working out the technical details and initiating practical test of the system.*

Sub-Component 4b: Information system for multiple benefits, other impacts, governance, and safeguards (criteria 32-34, Government: green; self-assessment workshop: yellow)

75. ***Identification of relevant non-carbon aspects, and social and environmental issues (criterion 32).*** As noted in the R-package Report, the National REDD+ Strategy explicitly states that the standards, procedures and guidelines for monitoring and measuring REDD + activities and results in Mozambique should ensure the **active participation of local communities** (participatory or community-based MRV; Participatory MRV), and include useful information for the definition of **environmental indicators** related to the reduction of deforestation and forest degradation and related emissions, **economic and social indicators** linked to integrated rural development, as well as the specific indicators of **environmental and social safeguards**, as set out in the Environmental and Social Management Framework (ESMF) of REDD+.
76. **Monitoring, reporting and information sharing (criterion 33).** The proposed Safeguard Information System (SIS) is still at an early stage of development. In compliance with the principles of REDD + implementation, and within the framework of the UNFCCC, the SIS will be developed and implemented to provide information on how safeguards are handled and respected. This is a necessary requirement to obtain payment for results. The SIS is expected to be simple, accessible, inclusive, transparent, auditable, comprehensive and in compliance with national legislation. The process of collecting information involves various partners from community organizations, government and civil society organizations. The R-package report presents a list of 36 SIS indicators, which were developed after consulting with various institutions involved in the process, reviewing the technical notes for preparing the Project Appraisal Document (PAD) of MozFIP and the MozDGM project, as well as bibliographical revision with special attention to the guide of good

practices to identify areas of high conservation value. This list will be further refined through planned seminars with stakeholders. The methodology to be used for the monitoring process of indicators includes interviews, questionnaires, direct observation and public consultations whenever necessary. Continuous dissemination programs will be part of the process to enable stakeholders to be actively involved, making for efficient and transparent implementation of REDD + projects and initiatives in the region.

77. ***Institutional arrangements and capacities (criterion 34).*** The specific REDD+ institutional capacities to be established at the different levels of government are discussed under sub-Component 4a. An additional key point for the feasibility and sustainability of a Participatory MRV system is to strengthen local capacities and autonomy. This is a great challenge, as currently the monitoring and reporting skills often reside in intermediary organizations instead of the communities themselves. Therefore, a Training of Trainers (ToT) program will be designed on data collection, data processing and data reporting for project staff, local representatives and key roles in the local MRV system developed, at all information and data processing levels: **National Level:** MRV Unit – UT-REDD+, UTREDD+; **Provincial Level:** Provincial REDD+ Coordination, MRV Provincial focal point, **District Level:** MRV District focal point.

78. The PMRV system needs to be embedded into community based forest management so that local people can use the information gathered to improve their management decisions, as well as fulfill REDD+ MRV requirements. This combination can easily deliver economic, social and environmental benefits for the local communities (livelihoods, organizational capacities, negotiating skills, environmental awareness, ecosystem services and conserving biodiversity), but it may require incentives (financial, social and/or personal) to mobilize local people to engage in PMRV. This in turn will need a social analysis to probe the enabling conditions for local participation.

➔ *TAP Conclusion: the development of the information system on multiple benefits, other impacts, governance and safeguards still requires significant work, especially to ensure constructive involvement of local communities in Participatory MRV, in a way that benefits their own socioeconomic and environmental objectives as well as fulfilling the REDD+ MRV requirements. While the government scored this sub-component green, the stakeholder workshop assessed it as yellow, emphasizing the need for better dissemination (in appropriate language) of the environmental and social safeguards instruments to enable more active participation of local communities.*

TAP Review Part C: Summary Assessment and Recommendation to the PC

79. **The participatory self-assessment process in Mozambique, though less extensive than in some of the other REDD+ countries that have presented their R-package reports so far, appears to have been well conducted. The participants in the self-assessment workshop provided useful and timely inputs to assess REDD+ readiness and determine what remains to be done to achieve it.** Two annotations to this conclusion: for reasons not stated in the R-Package report, no NGOs were present at the self-assessment workshop, though they had been regularly involved in earlier consultations; and second, little or no detail was provided on the methodology or the facilitation of the self-assessment workshop. Having said that, the quality of inputs received from the workshop participants was excellent, as noted above, and where workshop participants' viewpoints differed from those of UT-REDD+, this was faithfully reported in the R-Package report.
80. **The R-Package report has documented significant progress achieved since the Mid-term Review held in 2015.** The government scored 7 out of the 9 sub-components green and 2 yellow, whereas the self-assessment workshop was slightly more conservative, scoring 4 sub-components green and 5 yellow. As noted in the R-package report, however, the lower scores given by the stakeholders may be due to the fact that many key Readiness documents were finalized just before the workshop, such as the REDD+ Strategy (in November 2016) and the REDD+ safeguards instruments (in January 2017), so that the workshop participants had had little time to familiarize themselves with the documents. In addition, the R-package report mentioned that some of the stakeholders reviewed the different criteria in terms of actual implementation rather than readiness, which could also have led to assigning yellow instead of green scores.
81. **More important than the respective color scores and their differences, however, is the fact that there was a high degree of consensus about the specific elements of REDD+ Readiness that required further work.** There is a strong alignment between Chapter 4 of the R-package report, which presents the detailed comments on each of the Readiness sub-components provided by the stakeholders at the self-assessment workshop, and Chapter 5, which contains the work program to consolidate the REDD+ Readiness Phase for January – December 2017. **The goal of achieving full REDD+ Readiness and transitioning from Readiness to implementation of performance-based REDD+ activities by December 2017 appears reasonable in the light of the work that remains to be done.**
82. Based on the documents consulted, the **TAP reviewer is of the opinion that**

Mozambique's R-package report provides an accurate picture of REDD+ readiness progress in Mozambique. A few minor annotations to this conclusion are in order. The sections for some of the (sub)components were much more detailed than others. For example, under sub-component 2b, REDD+ strategy options, the R-package report provided little detail on the strategic actions (60 in the REDD+ Strategy, and 36 in the REDD+ Action Plan) identified for achieving the Strategy's objectives. Additional details, however, were easy to find in the additional REDD+ documentation hyperlinked in the R-package report.

83. **One key issue that will need to be resolved during the remainder of the Readiness phase is the apparent lack of understanding of the respective roles in implementation of the UT-REDD+/FNDS vis-à-vis the other government departments,** which was highlighted by the self-assessment workshop and which UT-REDD+ agreed needed further work. In the view of the REDD+ stakeholders, UT-REDD+/FNDS should be in charge of coordination, supervision and monitoring, and the mobilization of implementing partners – and leave implementation to the sectoral directorates and local government. The corollary of this is that these other government departments will need to internalize their obligations and responsibilities under the REDD+ Program. **The review of the national REDD+ strategy, planned for 2017, would appear to provide a good opportunity to clarify institutional roles and responsibilities in consultation with all the REDD+ stakeholders.**

**ADDITIONAL DOCUMENTS CONSULTED (OTHER THAN THOSE
HYPERLINKED IN THE R PACKAGE REPORT)**

CIFOR 2013, The context for REDD+ in Mozambique.

GEF 2016, Payment for Ecosystem Services in Mozambique project 5516.