

Minutes of Inception Workshop on SESA/ ESMF

Date: 27 February, 2015 from 08:30 to 17:30

Place: Kenenisa Hotel, Addis Ababa, Ethiopia

Participants: See annex 1 for list of participants.

1. Opening:

The workshop was opened with brief opening remarks by Dr. Tefera Mengistu advisor of the state Minister of the forest sector. In his speech Dr. Tefera emphasized that SESA and ESMF is a tool to make our REDD+ program to give due consideration for environment and social issues. In Ethiopia developing such tool is new if the consultant firm provide us a comprehensive SESA/ESMF tool that will help the REDD+ implementation more environmentally friendly and socially acceptable as well as economically feasible. He mentioned also that the stakeholders have to actively participate on the discussion in order to have well-built and workable REDD+ safeguard instruments. Finally he announced the inception workshop is officially opened.

Following the remarks delivered by Dr. Tefera, the National REDD+ Secretariat coordinator Dr. Yitebitu Moges briefly presented the link between the ongoing study (i.e Drivers of deforestation, legal institutional study, MRV) with SESA/ESMF. He also gave an advice the consultants to exchange data and information and he also took the responsibility to facilitate the exchange of information among the different study firms. Finally he invited Dr. Girma Balcha SESA/ESMF task force chair to facilitate the program.

Agenda

1. presentation on SESA\ESMF study inception report
2. Provide input through group discussion

Agenda item 1: Presentation on Inception report

Under agenda item 1 four presentations were conducted.

Presentation 1. SESA methodological approach by Prof. Sebsebe

The first presentation was done by Prof. Sebesebe Demissew on methodological approach and how the firm going to execute the nine SESA tasks indicated in terms of reference. He also showed maps of sample sites and explained why those sample sites where selected.

Presentation2. ESMF,RPF,PF methodological approach by Dr Tamerat Bekele

Dr.Tamrat Bekele in his presentation covered the Development of an Environmental and Social Management Framework (ESMF), Resettlement Policy Framework (RPF) and Process Framework (PF). The presenter further explained on capacity building actions for the entities responsible for implementing the ESMF, required technical assistance, outline of the budget for implementing the ESMF, provisions for Monitoring and Evaluation and dispute resolution mechanism.

Presentation 3. Spatial analysis on environmental and Social situation of forest sites of sample area

GIS specialist of the consulting team presented on sspatial analysis of environmental and Social situation of forest sites of sample area. In his presentation explained type of spatial information generated in the process of the assessment. He presented on how to acquire the important data from the secondary data and filed assessment. He further explained importance of generating as many standard data not only for specific study but also for using other related works as well as significance of sharing data.

Presentation 4. Work plan by Prof. Sebsebe

Prof. Sebsebe presented for the second time the last presentation on the general work plan and the related activities. The consulting firm categorized the deliverables in to five to complete the assignment within six months. The five deliverables presented by Prof Sebsebe were: Inception, Detailed inquiry and analysis, Develop first draft of SESA and ESMF, Review of draft SESA and ESMF and Finalization of the work.

Questions, comments and suggestions raised on the four presentations

After the presentations questions comments and suggestions were raised from participants this includes:

❖ Question raised:

- ✓ How do you capture regional representation?
- ✓ Do the consulting firm going to capture Oromia in your study?
- ✓ Why do the consulting firm use old data of WBISPP as there are recent ones done by MEF and FAO?
- ✓ How you manage the overlap consultation of DD and SESA-ESMF?
- ✓ Which tools of the PRA you use?
- ✓ Why grievance redressing mechanisms were not presented in detail?
- ✓ Do you produce a stand-alone report for Oromia?

❖ Responses and clarifications made by the consulting firm

- 8 regions and 14 sites of the country was proposed by the firm using list of criteria set by the firm. Some of the criteria identified for sample site selection were:
 - Hot spot for DD identified by the DD study under way currently
 - The carbon stock of the forest for the implementation of the REDD+ projects
 - Forest types
 - Socio-economic factors and other criteria prepared by the firm

Moreover, the consulting firm further mentioned that they are ready to consider the recommendations given by the workshop participants.

- The firm is ready to use any available relevant recent information. But from the WBISPP data there are some information which are not outdated with time.
- The DD study firms and the SESA-ESMF study firms communicate and avoids overlap of the consultation; however, the two studies conduct consultation to explore different data. The SESA/ESMF consultation focus on environmental and social impacts of the REDD+ implementation activities and other legal and institutional framework installed to implement REDD+.
- Under PRA techniques Consultation, focus group discussion and interview will be used to capture socio-economic and environmental issues if it is not clear we will further elaborate in the final inception report.

- The grievance redressing mechanism was presented in the ESMF presentation part. It has indicated traditional and institutional grievance redressing mechanism will be investigated in details.
- No, neither in ToR nor in the Minutes of negotiation agreed to prepare stand-alone report for Oromia. The national REDD+ Secretariat requested us during negotiation to prepare stand alone process framework which is not found in the terms of reference.

❖ Comments and suggestions forwarded by the Stakeholders

- The use of GIS techniques for historical analysis and mapping need to be reflected clearly in the revised version of the inception report as presented in the launching workshop.
- The social dimension of the SESA, ESMF, RPF and PF are overshadowed and require stating boldly in the study design, data collection and reporting.
- Review the existing global and national situations and relevant literature carefully to save time and cost related to data collection.
- Risks and benefit sharing mechanism of the implementation of REDD+ need to be thoroughly analyzed.
- The inception report/ this presentation is more general so make as specific as possible.
- It is good to map the vulnerable group due to the implementation of REDD+ program.
- The consultants should use the ongoing new forest inventory spatial analysis data.
- One of the purposes of an inception report is to present the method and approaches that the consulting firm will use to deliver the assignment. The consulting firm presented the methodology section based on deliverables and task based approaches and this requires further breakdown to a form that would be operationalized;
- Provide a detailed methodology and approaches to be used for the SESA, ESMF, RPF and PF assignment;
- The initial methodology is generic and does not spell out techniques to be used, such as PRA tools. The indicated PRA tools are general techniques consisting of a package of tools; and should also clearly state the specific tools, purpose and intended target.
- The number of woredas, sites/kebeles to be visited within each woreda and the number of community members to be consulted should be clearly stated in tabular or text format. It is important that the sample accurately reflect the target population in an unbiased manner.
- Clear criteria for selection of sample Woredas and kebeles/sites are required. An ideal inception report for the SESA, ESMF, RPF and PF should take the following criteria in to consideration:
 - a) **Forest type:** As Ethiopia has diverse forest types, each forest type should be represented in the assessment, by emphasizing on forest biodiversity hotspot areas, and community forest interaction;
 - b) **Deforestation and forest degradation hotspots:** As the forest resources of the country are adversely affected by various socio-economic activities, deforestation and forest degradation hotspot areas should be considered as a key criterion;

- c) ***Socio-economic setting***: As the forested areas of the country are being impacted by various communities and groups, the assessment should give emphasis to the socio-economic and environmental aspects of the forest dwellers, buffer zone communities, pastoralists, agro pastoralists and agriculturalists;
 - d) ***REDD+ Potential***: The ***relevance of localities regions*** with respect to their potential for REDD+; and
 - e) ***Forest area Coverage***: proportional sample sites need to be considered especially for those regions that have vast areas of forests.
 - f) Consider sample site distribution based on forest area coverage, potential for REDD and the advanced stage of the OFLP;
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- i. The sample identified require scientific justification and need to be quantified to gauge its representativeness and robustness in capturing the anticipated environmental and social issues.
 - ii. On page 64 of the final consultants contract negotiation the following clause indicates a clear sample setting; “In each of the nine (9) forest types, PRA will be carried out with a minimum of 100 participants from each.” Thus, the consultants need to come up with the acceptable sample size clearly stating each of the sample areas identified. This is a road map we need to set clearly to avoid confusions at the later stage.
 - iii. As the Oromia Region comprises more than 60% of the national forest resources, fair sample sites and sizes should be selected from the region with an emphasis to the two landscapes of the Oromia Forested Landscapes Program (OFLP). We would like to suggest, a total of ten woredas and two kebeles per woreda in the assessment of the two forested landscapes(Bale, Illubabur, Jimma and Wollega).

2.2 Agenda Item 2:

The discussion points for each groups are:

Discussion points for Group one

- Environmental and Social issues that should be captured in the study.
- Key stockholders and institutions included in the assessment.

Discussion points for Group two

- Sampling intensity required for the study
- Sample selection criteria
- legal, policy and institutional issues.

Group discussion

Members of group 1 discussed on the given issues and identified the following:

- Key Environmental issues that should be captured in the report to be produced includes
 - Risks of wild fire
 - Coffee management vs biodiversity degradation
 - Infrastructure development (road)
 - Investment (agricultural investment)
 - Leakage
 - Development and use of commercial forest
- Key Social issues that should be captured in the report to be produced includes
 - Benefit sharing
 - Restriction to cultural practices, tradition, norms
 - Tenure and carbon right
 - Power relation ship
 - Access and restriction to natural resources
 - Interaction and access of pastoralists
 - Women headed family
 - Loss of livelihood
 - Involuntary resettlement

- Key stakeholders and institutions to be included in the assessment.
 - Federal and Regional Institutes: (MEF, MoA, Energy, EWCA)
 - International Organization: NGOs, Donors
 - Communities
 - CBOs, PFM
 - Research institutes
 - Academia

Members of group 2 also discussed on their points and identified the following issues.

- Regarding Sampling intensity - it was suggested all regions must be included as this is a national report. Accordingly, the following regions and sites were recommended:
 - Afar: Asayita
 - Amhara: Metema, Tarmaber and Debreworkos (plantation forest)
 - Benishangul-Gumuz: Assosa (bamboo and wood land)
 - Gambela: Abobo & Godere
 - Oromia: LimuGenet(Jima), LimuSeka(Ilubabor), Jarte(Horo Guduru), Yabelo(Borena), Gemechis(harar) and Dolomena(Bale), Dodola (Bale), Yayu (Illubabor)
 - SNNP Region: Decha (Bonga) and Decha (Bonga)
 - Somali: Harhin
 - Tigray: Hagumburda

Legal framework and policy and institutional issues to be considered

- Mandate overlap (MEF, MoA, Investment Agency, Energy Minister, Capacity Building Office)
- Institutional arrangement
- Policy and framework gaps
- Community level arrangement
- Grievance redressing mechanism
- Benefit sharing mechanism
- Community use right, carbon right

Finally, Dr. Yitebitu coordinator of REDD+ has extended his thanks to all participants, and consultants and the meeting was closed at 5:00 pm.

Social and Environmental Issues require special attention in the assessment

The following social and environmental issues require special attention in the assessment,

a. Environmental Issues

1. **Pest Management OP 4.09:** As there are intensive uses of pesticides and other agrochemicals in the forested areas of the country though the application varies across regions. However, to ensure safe, effective, and environmentally sound pest management in REDD+ investments, integrated pest management approaches are required. As the GoE is also supporting the use of agrochemicals to increase agricultural production and productivity in rain-fed and irrigated farmlands, OP 4.09 should be emphasized during the preparation of the SESA and ESMF.
2. **Biodiversity degradation and loss:** There is intensive population pressure on woodlands in particular and high forest areas in general (due to 'illegal' settlers, shifting cultivation, membership restriction in some areas, free grazing of livestock, restriction of access to forest, improper wetlands cultivation, expansion of coffee plantation and intensive forest coffee management, among others), the national safeguards instruments should give emphasis on this issue to minimize the biodiversity degradation and loss in REDD+ investment areas.

b. Social Issues

3. **Access to forest resources for vulnerable groups:** The community groups identified as vulnerable in lieu of REDD+ include settled agriculturalists, buffer zone communities, pastoralists and agro pastoralists, women fuel wood carriers, women, migrant exploiters, none cooperative members within the forest community, the poor, emerging youth, educated and unemployed etc. With some exception to some of the vulnerable groups (such as pastoralists, agro-pastoralists, buffer zone communities), there are issues that require further exploration on access to forest resource, benefit sharing mechanisms and grievance redress mechanism, among others. Gap analysis of existing bylaws and greater understanding of the traditional forest resources use systems (*Godantu* and *Qobo*) will provide lessons for negotiations and grievance redress mechanism. The description of these institutions should be documented as community based institutions to complement the implementation of REDD+ initiatives.
4. **Migrant exploiters:** These include 'illegal' migrant who are engaged in deforestation and forest degradation. The current experience shows that the current

approach is 'deporting' these people to their origin, which is not a sustainable option. Thus, it would be important to understand the causes and effects of migration at both ends, levels of awareness and migrant exploiters livelihood context and social fabric.

5. ***Emerging, educated and unemployed youth:*** In forested areas emerging youth who are part of the forest community but not members to cooperatives are threat (due to livelihood activities) to the forest ecosystem. This requires innovative design of the REDD+ initiative and understanding of the context to address the interests of these groups.
6. ***Restriction of access to cooperatives:*** In principle membership to the cooperatives (PFMs) is open for those who meet the criteria and understood the pros and cons. However, there are restriction of access to membership through imposing higher registration and share sales fees and potential elite capture/exclusion by clan or family membership. The *Wajib* in Arsi area, which is a restricted (access) forest cooperative, is a case in point, which requires renegotiation. This will be a challenge for the REDD+ projects; hence, timely exploration of the issue and understanding will enhance initiatives inclusiveness while promoting sustainable use of the forests.
7. ***Beneficiaries and Benefit Sharing Mechanisms:*** There exists a common understanding that non forest timber products and the environmental services are unqualified benefits (that communities consider as granted, unlike other quantified benefits (financial)) in many of the forested areas. There are internationally accepted standards in setting benefit sharing mechanisms in REDD+, however, the SESA team should come up with a clearly articulated, and community proposed, negotiated realistic benefit sharing mechanism.
8. ***Community consultation:*** the consulting firm need to include a summary of the community consultation findings as part of the safeguards report, which is a key dimension of the environmental and social aspects.
9. ***Traditional grievance handling committee*** plays a vital role in the PFM establishment, conflict management and redressing grievances within and outside the PFM. These committees are also active in managing and preserving the forest, handling concerns on entitlements and benefit sharing arrangements. Therefore, the consulting firm should give due attention on traditional conflict management system/grievance handling mechanism of the elders.

Ministry of Environment and forest
National REDD+ Secretariat

Launching workshop of the national study on Strategic Environmental and Social Assessment (SESA) and Environmental and

Social Management Framework (ESMF)

Kenemsa Hotel, Addis Ababa, Ethiopia February 27, 2015

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