

Abbreviated Environmental and Social Management Framework (ESMF)

Management of Competing Water Uses and Associated Ecosystems in Pungwe, Buzi and Save Basins

1. Purpose of the abbreviated ESMF

This document presents an abbreviated Environmental and Social Management Framework (ESMF) for the implementation of the GEF-funded project “Management of Competing Water Uses and Associated Ecosystems in Pungwe, Buzi and Save Basins”.

The project aims to strengthen transboundary cooperation and management of water resources and associated ecosystems for improved water security, climate change resilience and sustainable livelihoods in the shared Pungwe-Buzi-Save basins in Zimbabwe and Mozambique. The project activities are expected to be highly beneficial from an environmental but also from a social perspective as they shall contribute to actually reducing death casualties due to flooding every year in the basin and to strengthen the community resilience to drought.

The majority of project activities are dedicated to analysis (Transboundary Diagnosis Analysis, TDA), planning, knowledge development, capacity building and to monitoring. These activities don't have noteworthy safeguard relevance as they don't involve concrete action on the ground. However, the TDA will feed into the development of a Strategic Action Program (SAP) (activity 3.3) which - aside from monitoring and knowledge development and governance strengthening – is likely to include investments to promote economic growth and reduce environmental degradation. Such investments might have unintended negative social or environmental impacts. While the implementation of these investments is not part of the project, the ESMS does require that potential E&S impacts from downstream implementation of policies, plans and programmes are taken into account.

Some project activities involve direct impacts on the ground; these are activity 2.2 (Determination of e-flows for priority ecosystems in pilot sites), activity 2.4 (Strengthen capacity about environmental law enforcement related to mining) and to a minor extent activity 1.7 (Strengthen Early Warning Systems). The determination of objective flows in the pilot basins might involve setting restrictions of water uses. But this will only be known after having determined - for each pilot site – the environmental needs (e-flow), water uses (demands/needs) and after having identified the flow regulation possibilities. While it is the intention that any restrictions should first concern large-scale users, it cannot be fully excluded that also households might be affected.

Activity 2.4 includes strengthening capacities on environmental law enforcement with focus on mining pollution. Increasing enforcement might induce livelihood risks – though this is considered not highly likely as the main focus is the training of informal gold miners on adequate practices. Activity 1.7 includes the design of community-level interventions and implementation of the soft component (e.g. low tech monitoring systems, training, installation of sirens etc.). “Hard” interventions can be planned but their implementation is outside the scope of this project. Potential E&S impacts from their implementation, however, should still be taken into consideration when developing these plans.

Overall it is considered very unlikely that project activities will have significant adverse environmental and/or social impacts that are diverse, irreversible, or unprecedented. It would have normally been rated as low risk project, if there wasn't a lack of clarity about some of the project activities that might have on the ground impacts (as described above). Hence it is classified as moderate risk project and the development of an Environmental and Social Management Framework (ESMF) is needed. Because risks from these yet unspecified activities are anticipated as moderate (at most), a short and succinct ESMF is deemed sufficient. It should highlight types of risk issues of the on the ground activities and mitigation measures, provide guidance for the SAP, establish the responsibilities for risk identification and assessment and describe measures for building the capacity of partner organizations in safeguard issues.

2. Potential social and environmental impacts and mitigation measures

Based on the results from the ESMS Screening, Table 1 was established that lists the identified environmental and social risks, judges the magnitude and probability of each risk issue and presents the mitigation strategies that will be pursued by the project. Because the concrete interventions will only be known once the respective plans are developed together with the respective communities, the table can only present examples of interventions for which mitigation measures are suggested. Once the actual interventions are identified during the project, a risk screening will be carried out and measures identified to address the actual impacts (see chapter 3).

Table 1: Potential social impacts of project activities and mitigation measures

Project Activities	ESMS relevant interventions or possible interventions	Potential negative E&S risks	Magnitude	Probability	Significance	Mitigation measures
Activity 1.7 - Strengthen Early Warning Systems (EWS)	Community-level interventions (soft component), among others: <ul style="list-style-type: none"> • low-cost low tech monitoring system for water levels and community indicators, • sirens installation in low-lying urban places • Simulation exercises 	<ul style="list-style-type: none"> • Risk of unjustified preferential treatment if certain communities or social groups within communities are left out • Risk of domination of the committee by powerful groups (incl. elder men) 	Minor	Possible	Low	<ul style="list-style-type: none"> • A detailed stakeholder analysis and situation analysis of the pilot sites will be undertaken to ensure that the local context is well understood. • Adequate representation of relevant social groups including women and vulnerable groups shall be ensured.
Activity 2.2 - Determination of e-flows for priority ecosystems in pilot sites Activity 2.3 -Develop national and transboundary regulatory framework for e-flows implementation, incl. legal texts, (...) and enforcement	<ul style="list-style-type: none"> • Developing jointly approved guidance for e-flows determination • Determine e-flows (ecosystems needs in terms of water regimes) in pilot areas • Assess water uses (demand/needs, abstractions, licenses etc.) • Determination of objective flows in pilot basins and revision of dams operation rules 	Restrictions in access to water (even temporary) might affect peoples' livelihood	Medium	Likely	Moderate	<ul style="list-style-type: none"> • The determination of objective flows will be done based on environmental needs, priority water use and other uses and the identification of flow regulation possibilities; the project team will ensure that this process is <ul style="list-style-type: none"> ○ transparent and well explained to the relevant stakeholder and ○ inclusive (ensuring participation/ understanding of water needs/demands in particular of vulnerable/marginalized populations); • Priority to access water shall be given to traditional small-scale users, including domestic uses, and community irrigation; if restrictions are needed these shall concern first and foremost large-scale users (such as agro-industries) • If restriction for households (including temporary restrictions) cannot be avoided, an assessment of the social implications of all affected households will be undertaken, with particular focus on vulnerable groups; • If livelihood impacts from such restrictions are identified, the project will ensure that these will be mitigated in a form that is agreed by the affected groups.
Activity 2.4 - Strengthen capacity of environmental law enforcement roadmap	Actions for reducing pollution from mining caused by gold panners	Restricting informal gold mining leading to loss of income options (though the probability is considered not	Minor	Possible	Low	<ul style="list-style-type: none"> • Identify risks of livelihood impacts of gold panners from restrictions, in particular in vulnerable groups

Project Activities	ESMS relevant interventions or possible interventions	Potential negative E&S risks	Magnitude	Probability	Significance	Mitigation measures
for tackling environmental issues		very high as the main focus is the training of informal gold miners on adequate practices)				<ul style="list-style-type: none"> Provide assistance to restore livelihoods including supporting formalization of informal mining sector and training of informal gold miners in environmentally sustainable practices.
Activity 3.3 – tri-basin Strategic Action Programme (SAP)	The SAP will be informed by the transboundary diagnostic analysis (TDA) that identifies and quantifies water-related problems that are transboundary in nature. Aside from actions such as monitoring, capacity building and governance strengthening possible transboundary priority actions that are ESMS relevant may include the determination of e-flows (in sites others than the ones piloted during the project) as well as investments to promote economic growth and reduce environmental degradation. While such action will not be implemented as part of the project, potential negative E&S impacts should be taken into account when formulating the SAP. Not knowing the proposed priority actions, at this stage only very generic guidance can be given related to potential actions. Chapter 3 describes the risk identification and management process.					
	Determine e-flows for selected ecosystems (other than the sites piloted by the project)	Restrictions in access to water (even temporary) might affect peoples' livelihood	TBD during SAP development.	TBD during SAP development.		The SAP should include a provision for avoiding social impacts of restrictions in use/access to water resources; where potential social impacts from access restrictions are identified, compliance with the requirements of universally accepted safeguard systems should be ensured.
	Actions for mining pollution reduction	Gold panners livelihoods impacted	TBD during SAP development.	TBD during SAP development.		The SAP should include a provision to assess livelihood impacts of proposed actions (e.g. measures to reduce mining pollution); affected groups should be assisted in improving or at least restoring their livelihoods or formalizing informal activities.
	Investments to promote economic growth and reduce environmental degradation	TBD during SAP development	TBD	TBD		Mitigation measures will be developed once the promoted investments are known

3. Risk identification and management

All project activities that will be designed in detail only during project implementation will be screened on environmental and social risks by the Project Management Unit (PMU). Aside from identification of risks, screening also determines whether any form of impact assessment is needed to ascertain the extent of the risks and to develop mitigation measures.

The screening is guided by the ESMS Questionnaire (available at www.iucn.org/esms) which provides an extensive list of questions elaborating on typical risk issues associated with risks areas covered by the four ESMS Standards as well as other environmental and social risk issues frequently encountered in conservation projects. If the screening identifies the risk of negative social and environmental impacts, these need to be assessed on their significance based on the impacts' anticipated magnitude and probability (as demonstrated in the significance matrix below).

Table 2: Risk significance matrix

Significance Likelihood	Magnitude of impact		
	Minor	Medium	Major
Very Likely	Moderate	High	High
Likely	Moderate	Moderate	High
Possible	Low	Moderate	Moderate
Unlikely	Low	Low	Moderate

All activities where the significance of impacts is considered as moderate or high need to be assessed in more detail following the instructions provided in the IUCN ESMS Manual (available at www.iucn.org/esms). Such impacts require that a suitable strategy for avoiding impacts – through alternative project design, or by minimizing or compensating for them, is developed together with the groups affected by the impacts. Depending on the nature of the identified risk issues, impact assessment can be done by project staff or might require a technical expert knowledgeable in the specific field.

If the identified impacts are significant and require a more complex mitigation strategy, this shall be presented in form of an Environmental and Social Management Plan (ESMP) – following the IUCN Guidance Note for ESMP. However, if mitigation measures are relatively simple and straight forward, it may be sufficient to integrate them into the design and methodology of the respective intervention. In both cases, provisions for monitoring implementation of measures and effectiveness of risk mitigation will need to be established.

Risks induced by restrictions of water use

Provision of environmental flows and flows for downstream uses may require restrictive flow management in some reaches during certain periods of year, with severity of measures depending on the gravity of droughts. The basic principle is to allow active management of water resource with an objective of maintaining adequate flows for ecosystems needs (e-flows) and priority downstream uses (including domestic uses). The determination of objective flows shall rely on the determination of environmental needs, priority water use and other uses, the identification of flow regulation possibilities before deciding the environmental flows/objective flows.

Restrictions, if needed, shall first and foremost concern large-scale users (such as agro-industries) and avoid impacting small-scale users, including domestic uses, and community irrigation. Thus, it is anticipated that vulnerable groups shall benefit from the establishment of objective flows as it will improve the protection against floods, increase the availability of water and therefore their resilience to drought, and improve ecosystems state and services. Possible access limitations to small-scale users shall only be considered for extreme hydrological conditions, and the main leverage of the release of objective flows is the regulation capacity of large hydraulic infrastructure such as dams. In case restrictions for small-scale users cannot be avoided, an assessment of the social implications on the affected households shall be undertaken, with particular focus on vulnerable groups. If potential impacts are identified, these need to be ascertained in consultation with affected groups and mitigation measures need to be developed with and agreed by the affected groups. This needs to happen prior

to the final determination of the objective flows and the development of national and transboundary regulatory framework for e-flows implementation.

4. Stakeholder Engagement

In accordance with the ESMS Principle on Stakeholder Engagement, the executing entity needs to ensure that individuals and communities who might be affected (positively or negatively) by IUCN-funded projects are provided with the opportunity to participate in a genuine and meaningful way in the formulation and implementation of the projects. To this end, a strong stakeholder engagement processes has been put in place during the design of the projects which is documented in Chapter 6 of the Project Document. The consultations also served as a first level gathering of feed-back and concerns about the project activities.

However, continuation of stakeholder engagement during project implementation is important, in particular related to the activities that might involve direct impacts on the ground and that will be designed in detail during project implementation (see table 1). To ensure an appropriate level of engagement of different stakeholder groups when designing the details, the project team will carry out (and document) a stakeholder analysis in the different sites to identify the relevant stakeholder groups, their interests in the project and potential concerns with regards to project activities. Individuals or groups who raised concerns or might be impacted by project activities, will be engaged in order to ensure that concerns are appropriately captured, and that potential risks are identified and adequately addressed through avoidance, minimization, or compensation.

Stakeholder consultation is also important with regards to the development of the tri-basin Strategic Action Programme (SAP) under Activity 3.3 The methodology for developing a SAP already foresees the establishment of an adequate stakeholder engagement plan as it builds on a larger facilitative process of engagement and consultation with all the key stakeholders during the process of transboundary diagnosis analysis (TDA) and as engagement of stakeholders forms the basis for identifying and for prioritizing transboundary priority actions. It will be essential that the stakeholder engagement strategy is transparent and inclusive and allows for capturing concerns related to the proposed priority actions of a wide-ranging and inclusive group of stakeholder, in particular of groups that might potentially be affected by the identified priority actions (including vulnerable or marginalized populations).

5. Capacity Building

In order to facilitate the implementation of the ESMF a safeguards training will be organized for all projects staff (PMU and executing agency) and relevant project partners during the inception phase of the project. The training will be delivered by the IUCN regional ESMS Officer.

Inception workshops, beneficiary trainings and community forums shall be used to raise the awareness about safeguard issues and discuss the purpose and procedures of the ESMF. Special emphasis will be given to explaining the importance of a establishing an effective grievance mechanism (see chapter 6 for more details).

6. Grievance Mechanism

The aim of the grievance mechanism is to provide people or communities fearing or suffering adverse impacts from a project with the assurance that they will be heard and assisted in a timely manner. Each grievance case is reviewed. A process identifies the root causes of the subject of the grievance. Some cases may also require remedial actions to redress potential harm or preventive measures to avoid repetition of non-compliance. The functioning of the IUCN Grievance system is described on the IUCN ESMS website (available at www.iucn.org/esms).

For the grievance mechanism to be effective and accessible, the executing agency (GWP) must inform all relevant project stakeholders of the existence of IUCN's grievance mechanism and about the relevant provisions of the present framework. This shall be done no later than within the first quarter of project implementation. Stakeholders need to know the issues eligible for the grievance mechanism, the three-stage process, contact information and the mechanism for complaint submission. The information should be delivered in a culturally appropriate form assuring that all relevant groups are reached, including women and vulnerable groups. It can be communicated verbally (in consultation meetings or through media) or in writing.

The executing agency (GWP) will ensure that signage is erected on each project site, displaying clear and legible information allowing anyone to contact IUCN in case of concerns or complaints. It will also ensure that students and personnel in at least one school near the project site are given leaflets with information on the project's nature and objectives, as well as clear guidance on how to contact IUCN in case of concerns or complaints over any negative impacts of the project.

7. Implementation Arrangements and Budget

The oversight of the abbreviated ESMF will be vested to the IUCN regional ESMS Officer. The implementation of the risk identification and management is assumed by the project coordinator. The project coordinator will ensure that the following functions are fulfilled:

- ESMS Screening of field activities to be designed during implementation;
- Where assessments (ESIA) are needed, draft ToR and ensure contracting appropriate experts;
- Appraise quality of ESIA reports and associated ESMPs;
- Monitor ESMP implementation.

The costs associated with the implementation of the ESMF are included within the overall budget of the project, as part of the corresponding activities.