Terms of Reference (TORs) for Developing an Environmental and Social Management System (ESMS) and Carrying out a Socioeconomic Baseline Survey for the Primeiras e Segundas Environmental Protected Area (PSEPA) project

1. Background

Mozambique is one of the most biodiverse countries in the world. Critical forest, freshwater and marine land- and seascapes provide important socio-economic benefits to the communities who depend upon them directly, as well as to the national population more broadly. Yet these natural ‘assets’ are under extreme pressure. WWF Mozambique’s (MCO) vision is that “Natural capital is well maintained and thriving, ensuring sustainable and equitable development for the wellbeing of the people of Mozambique.” This vision is intended to be achieved through four conservation goals on governance, the Rovuma landscape, the Zambezi landscape, and the Mozambique seascape.

The Mozambique seascape sub-strategy goal is that by 2020, priority coastal and marine habitats and species populations are at least maintained at 2015 levels or recovering. Three main sub-strategies are identified to achieve this, namely: (a) reducing the negative impacts from commercial and artisanal fisheries; (b) ensuring that priority habitats and coastal communities are resilient and better adapted to climate change impacts; and (c) building civil society capacity and knowledge to apply the precautionary approach to extractive industry development in marine and coastal areas. The scope for the sub strategy includes 4 specific geographical areas of focus, namely Quirimbas Archipelago (including Quirimbas National Park (QNP) and Environmental Protection Area of Primeiras and Segundas Islands in the north), the Sofala Bank fishing grounds in the center, and the Bazaruto National Park (BNP) and Archipelago in the south.

Recently, WWF advocated for and was involved in the creation of the Primeiras and Segundas Environmental Protected Area (PSEPA), as well as the development of the Protected Area Management Plan, which was approved in June 2017. Consequently, in 2018 WWF initiated the project “Safeguarding PSEPA” funded Blue Action Fund and co-funded by WWF US. The main objective of the project is to improve the management of PSEPA in close cooperation with relevant stakeholders, and this will be achieved through the following actions:

a) Setting up an administration and co-management structure;
b) Developing instruments and capacities to support the management plan;
c) Establishing of an Environmental and Social Management System with a comprehensive Project M&E and Learning Framework system;
d) Establishing a surveillance and control system to protect integral natural reserves (INR) and fight illegal fishing practices;
e) Improving local knowledge, creating awareness and advocating for the sustainable use and management of marine and coastal natural resources

f) Strengthening fisheries and natural resources community organization to improving artisanal fisheries co-management and sustainable mangrove community management; and

g) Supporting sustainable and climate resilience coastal livelihoods of local communities by promoting food-nutrition security and rural microfinances, as well as alternative livelihood opportunities.

The PSEPA stretches over Angoche, Larde, Moma districts in Nampula province and Pebane district in Zambezia Province. Over 340,000 people live within PSEPA, of which about 30,000 are artisanal fishers. 90% of households rely on fish as their main source of protein and fishing is the primary livelihood activity followed by subsistence agriculture and trade. Nampula and Zambézia provinces have the highest poverty and illiteracy levels in the country. Essentially, the “Safeguarding PSEPA” project is expected to work with these local governments and with around 39 communities (16 in Angoche, 4 in Larde, 11 in Moma and 8 in Pebane). One of the key aspects of the project is to build a strong M&E framework that will measure progress and learning, ensure environmental and social safeguards, inform strategic adaptive management and meet donor requirements. Consequently, WWF intends to hire a consulting firm to develop a solid environmental and social monitoring system of the project as well as conduct a socioeconomic and livelihoods survey that will determine baseline values for key indicators to fill data gaps of the current project results matrix.

2. Objective(s) of the Consultancy

The main objective of the consultancy is to develop a solid environmental and social monitoring system of the PSEPA project and conduct a socioeconomic and livelihoods survey. Specifically, the consultant(s) will:

(a) Carry out an Environmental and Social Risk Assessment (ESRA) and develop the associated Management System (ESMS) in accordance with donor requirements as indicated in Blue Action Fund Grant Procedures Manual and the Blue Action Fund ESMS procedures. The overarching goal of the ESMS will be to improve decision-making and to ensure that the project is environmentally and socially sound and sustainable. To that end, the consultant will: assess the potential environmental and social risks and impacts of the proposed project activities, and recommend mitigation measures to effectively address any negative impacts or risks including proposing clear methodologies and guidance to be applied during project implementation for environmental and social screening of activities.

(b) Conduct an analysis of community conservation areas (CCA) governance based on transcripts previously conducted CBNRM focus group discussion (available on request) in 5 of the PSEPA communities. The Portuguese-language transcripts are raw qualitative data from the end-line survey of the decade-long CARE-WWF Alliance project in Primeiras and Segundas conducted in September 2018. The transcripts contain rich qualitative data about the strengths and challenges of CCA governance from the perspective of CBNRM committee members that monitor them.
(c) Carry out a socioeconomic baseline assessment of the livelihoods component of the PSEPA project.

3. Scope of Work and Methodology

The consultant(s) is expected to do preliminary desk/documentation review of all available information related to the project and documents on potential environmental and social impacts and risks to gain a deep understanding of the project objectives, activities, ecosystems, socioeconomic and sociocultural characteristics of the project geography. Key documents that will be provided for review include:

- BAF project documentation, namely BAF Grants Manual, BAF ESMS procedures (based on IUCN guidelines on Environmental and Social Monitoring System, KfW’s Sustainability Guidelines and the Guidelines on Incorporating Human Rights Standards and Principles in Programme Proposals for Bilateral German Technical and Financial Cooperation), and Project M&E Results Framework (including project results matrix, theory of change and guidelines for beneficiaries targeting)

- Key CARE-WWF Alliance in PSEPA assessments and reports, namely: situational assessment to support sustainable livelihood baseline (2008) and respective questionnaires; description of Moma district household surveys – fishing, farming and perception of the Alliance program work (2014) and respective questionnaires; Primeiras and Segundas program coastal livelihood impact assessment (2016); Tools used in 2018 end line survey (quantitative questionnaires, qualitative FDG protocol and respective CBNRM’s FDG transcripts); Nampula Adaptation to climate change baseline (2015) and end line (2017) and respective questionnaires; climate vulnerability and capacity assessment in the Primeiras and Segundas Arquipelago Marine Reserve; and some resources about lessons and research lessons around coastal livelihood, gender, sanctuaries and conservation agriculture.

The consultant(s)’ methodology must include virtual and/or face-to-face meeting(s) with key WWF project staff for clarifications on the scope of consultant work, proposed project activities, or any other required information that couldn’t be gathered during the initial desk review.

Environmental and Social Risk Assessment (ESRA) and Management System (ESMS)

The consultant(s) must present a methodology for not only carry out and developing the ESRA and ESMS respectively, but also in such a way that it must facilitate project compliance with relevant safeguards. The ESRA must be based on the Blue Action Fund ESMS procedures. It is expected that the consultant(s) will perform the following tasks to complete the ESRA/ESMS: initial environmental and social screening of the proposed project scope; analysis of relevant focus group transcripts from CARE-WWF Alliance in P&S and secondary data as well as policy, regulatory and institutional frameworks including through public consultation to inform the deep analysis of environmental and social impact issues and project risks and analysis of alternatives and development of a management plan to mitigate negative impacts and risks. The methodology should include consultations with communities to fill gaps identified in the desk review.
and exchange with the project team. The consultant team should expect to carry out qualitative investigation in the field to selected project sites including meetings with key communities and stakeholders to collect primary information required for the assessment. The gathered data must be systematically analyzed to identify the project’s potential negative environmental and social impacts and risks against the relevant guidelines and identify corresponding corrective actions and recommend acceptable and justified implementation schedules.

Community Conservation Areas (CCA) Governance Analysis

The consultant(s) must present a methodology of conducting a systematic analysis of the transcripts from previously conducted CBNRM focus group discussion and ascertain the extent to which historical community governance approach applied Elinor Ostrom’s eight principles for common pool resource management. The analysis must offer important insights into social and environmental risks associated with the CCA approach, which the “Safeguarding PSEPA” project will use in order to deliver its objectives. In addition to the 115 pages of transcripts for analysis, the consultant must reference and consult the qualitative focus group protocol that was used to explore the adherence of the CBNRM committees to the Ostrom principles, and the report of findings from the broader end line research, which analyzed over 450 household surveys and 30 focus group transcripts.

Socioeconomic Baseline Assessment

The consultant(s) must present a methodology for the baseline survey that informs beneficiary targeting and can meaningfully evaluate impact at the end of the project (including identifying key impact indicators). The sample design should take in account a control group of non-project beneficiaries. The key project indicators that must be captured are social and economic indices without baseline values in the project M&E results framework (Household Assets Index, Months of Adequate Household Food Provisioning (MAHFP), and measure of household perceptions and attitudes towards the protection of coastal and marine resources and biodiversity). Some additional baseline indicators should be collected to monitor livelihoods implementation, impact and outcomes (including Dietary Diversity Index, % smallholder farmers who adopt at least two climate smart farming techniques in their own fields and access to saving and credit).

It is expected that the consultant(s) will work with support from national implementing partners (AENA & OPHAELA) and with the assistance of WWF, to perform the following tasks:

a) Preliminary Review of project documentation. Review available documentation related to project activities under the livelihood component including Result Matrix and Indicators and previous relevant assessments on similar topics in PSEPA. This will overlap substantially with desk review for Objective A, and the following additional documents will be provided:
   - CARE-WWF Alliance 2008, 2014 and 2018 household survey instruments with 2018 field manual (which includes the locally-relevant questions used in PSEPA to gather key indicators, Household Asset Index);
- NACC 2015 and 2017 survey instrument (which includes Monthly Adequate Household Food Provisioning, smallholder farmers who adopt at least two climate smart farming techniques in their own fields and access to saving and credit);
- Additional information on monitoring from previous projects in P&S (related to FFS, VSLAs outputs and resilience outcomes).

b) **Review the BAF M&E framework** (including project results matrix, theory of change, guidelines for beneficiaries targeting discussed in the inception workshop) and make recommendations, as necessary (and taking advantage of historical data wherever possible), for proposed additional indicators that will help capture socioeconomic progress.

c) **Draft a sampling and household survey methodology**, based on clear understanding of the relationship between survey participation and beneficiary targeting. The consultant(s) must ensure that the baseline survey provides for statistically significant comparisons (potentially with a proxy control group not receiving key project treatments and certainly in addition to) with end-line data. Design the survey instruments and incorporate feedback from the project team. In close collaboration with the project team, select sample of communities and survey respondents based guidelines for beneficiaries discussed in the inception workshop, ensuring appropriate beneficiary targeting within budget constraints.

d) **Administer the survey** – Prepare a field manual, hire and train field enumerators, and pilot the instrument in the field. Update and print the appropriate number of household questionnaires, and oversee the data collection process in the field.

e) **Entry, clean and analyse the quantitative data using SPSS, SAS, R or STATA**.

f) **Documentation**. Prepare a report summarizing the assessment. The report should include a methodology, findings – highlighting the status of key socioeconomic indicators from the M&E framework and proposed additional indications.

### 4. Deliverables/Expected Outputs

At beginning of consultancy, the consultant(s) will provide a detailed work plan with timelines which allow for WWF (Mozambique, Germany and US) and project partners to review, discuss and feedback on including products such as questionnaires, ESRA/ESMS templates and draft reports. Specific objective related deliverables are as follows:

**Environmental and Social Risk Assessment (ESRA) and Management System (ESMS)**

Project Environmental and Social Risk Assessment (ESRA) report in English and Portuguese with information about the scope of adverse environmental and social impacts and risks to project operations, and recommended mitigation and monitoring actions to be taken including estimated costs of recommended monitoring. The report shall include:

- An Executive Summary of major environment and social impacts and risks, and recommended mitigation actions – i.e., an overview of the proposed ESMS strategy;
- Introduction to the Blue Action Fund Project in Primeiras e Segundas;
- Environmental and social risk assessment purpose and methods;
• Project context and desk review findings, including analysis of CBNRM focus group transcripts with respect to implementation of Ostrom’s common pool resource governance principles;
• A detailed, evidence-based explanation of the potential environmental and social impacts (positive and negative) and risks associated with the project, including stakeholder concerns identified through public consultation;
• Alternatives for consideration and recommended mitigation actions that comply with donor and project requirements, including recommendations about how to improve the equity and sustainability of CBNRM and CCA governance;
• Other recommendations to improve BAF project implementation, especially for those non-safeguard or mitigation measures identified through consultations; and
• Annexes, including:
  o An Environmental and Social Management System including a strategy and operational and monitoring action plan to measure the mitigation of negative impacts and risks. It is expected that evaluation system will utilize both quantitative and qualitative methods.
  o Research instruments, field work schedule, list of stakeholders consulted, bibliography of secondary resources referenced, etc.

Community Conservation Areas (CCA) Governance Analysis

A major analytical section in Project Environmental and Social Risk Assessment (ESRA) report above answering the question: To what extent / how effectively did previous CCA interventions in P&S implement Ostrom’s eight principles for common pool resource management? The section must summarize findings and lessons, making evidence-based recommendations to enhance the viability of CCAs. Recommendations should include potential ways to improve the distribution of costs and benefits associated with CBNRM, for instance through changing CCA incentive systems to enable equitable, effective and sustainable community co-management systems. Results and recommendations should be integrated into ESRA analysis and ESMS recommendations.

Socioeconomic Baseline Assessment

Socioeconomic Baseline Assessment report, highlighting the starting values for impact level indicators associated with the project’s livelihoods component, including current knowledge and attitudes of households towards conservation. This report will include following:

  o Executive Summary
  o Introduction
  o Methodology, Sampling and Limitations
  o Results
  o Recommendations, including methodological guidance important to inform adaptive management of the project;
o Annexes, including a completed M&E framework with all socioeconomic baseline values of impact indicators associated with livelihoods and attitudes toward conservation.
  o Supplementary Documents, including anything necessary to reliably repeat the methodology at endline – i.e, the field manual and survey questionnaire; raw and cleaned data, including identifying geospatial and/or contact information for the households surveyed.

5. Duration and Timing

The estimated duration of the consultancy is a maximum of 60 days with indicative timelines as follows:

- 4 days for desk information review and analysis
- 5 days for the analysis of transcripts against Ostrom’s principles
- 2 days to review additional BAF documentation, previous household survey instruments and project monitoring approaches
- 3 days for design and approval of survey instrument and field manual
- 4 days for hiring and training of enumerators and testing of survey instrument
- 6 days for data entry, cleaning and analysis of socioeconomic data collected
- 3 days for socioeconomic baseline report preparation
- 15 days for field travel and data collection, including both stakeholder consultations and household surveys
- 6 days for the ESRA Report and
- 3 days for final preparation of ESMS for the project.

NOTE: The consultancy must be designed and executed so that the field work can be done simultaneously to streamline processes, minimize demands on communities and maximize use of scarce financial resources.

6. Logistical Support and Other Information

WWF will provide some support to the execution of the assignment including:

- Sharing, in a timely fashion, all relevant documentation about the project and PSEPA noted in sections above which can be accessed at this link [https://drive.google.com/open?id=1u7Ynkp-0ythMIPkzx77aRPATeaTTyEkv](https://drive.google.com/open?id=1u7Ynkp-0ythMIPkzx77aRPATeaTTyEkv), and facilitating virtual or physical meetings with project staff and partners.
- Providing for costs and logistics for field visits including flights, transportation to the districts and communities by vehicles and/or boats, organizing meetings with relevant stakeholders, provision of translators of Coti and Emacua languages, accommodation, and per diems.

7. Assignment Work Station

The assignment is expected to be executed from home base, in Maputo and in Nampula and Zambézia Provinces, Mozambique for field work.
8. Eligibility/Qualification of Consultants

Individual consultant or consultant team must have with the following experiences and skills:

**Required**

- Experience in conducting Environmental and Social Risk Assessments and developing associated Environmental and Social Monitoring Plans;
- Experience in designing, overseeing and analyzing socioeconomic baseline assessments, including command of sampling methods and analysis software (R, STATA, SAS or SPSS);
- Experience with qualitative research in remote locations, especially gathering and analyzing knowledge and perceptions of communities around rural livelihoods and environment; and
- Able to communicate effectively both verbally (e.g., facilitate meetings / focus groups) and in writing (i.e., clear, succinct reports) in English and Portuguese.

**Preferred**

- Familiarity with BAF requirements, IUCN and other relevant social and environmental safeguard guidelines.
- Experience with community-based conservation and/or sustainable livelihoods in East Africa.
- Familiarity with power and vulnerability analyses and project beneficiary targeting.
- Experience working for WWF performing similar type of work will be an asset.
- Experience doing work in Mozambique, including familiarity with PSEPA or similar regions.

9. Application

Interested candidates should submit the following by email to: concursos@wwf.org.mz with name of consultancy in subject line or via hardcopies delivered to WWF Office in Maputo, at Av. Rua Faralay Nº. 108 by 05 July 2019 at 13:30 Maputo time:

(a) **Technical Application/Proposal** – with a cover letter responding to the TORs and demonstrating at the least: a solid understanding and ability to deliver the requirements of the assignment (including proposed methodology and tools/instruments); suitability for the assignment (e.g. institutional capacity and expertise including at least three examples of past relevant experience and CVs of key personnel highlighting previous relevant work); a work plan outlining number of days required, tasks to be conducted, number of people in the team (both, in desk review and field research) involved.

(b) **Financial Proposal** - indicating detailed breakdown of costs for the different tasks and justifications and daily consultancy fees. The financial proposal shall be submitted in a separate document from the technical proposal in USD. Please note WWF cannot be charged for the consultant(s)’ costs related to the preparation and submission of their proposals.
All submissions must be submitted in English and where applicable only shortlisted applicants will be contacted for a face-to-face interview and presentation which shall also be conducted in English.

10. Evaluation of Applications
Applications will be evaluated using the following criteria and points: understanding and technical soundness and merit of methodology to execute the assignment (40 points); organizational capacity and expertise to execute the assignment (30 points); past performance relevant to the assignment (20 points); and financial offer (10 points).