

# **SHIRE VALLEY TRANSFORMATION PROGRAM**

*SHIRE VALLEY TRANSFORMATION PROGRAM - I*

## **PROCESS FRAMEWORK**

**Disclosed August 10, 2017**

# TABLE OF CONTENTS

<b>TABLE OF CONTENTS .....</b>	<b>II</b>
<b>ACKNOWLEDGEMENT .....</b>	<b>IV</b>
<b>ACCRONYMS AND ABBREVIATIONS .....</b>	<b>V</b>
<b>EXECUTIVE SUMMARY .....</b>	<b>VI</b>
<b>1.0 INTRODUCTION .....</b>	<b>1</b>
<b>1.1 PROJECT DESCRIPTION .....</b>	<b>1</b>
<b>1.2 OVERVIEW OF PROJECT COMPONENTS .....</b>	<b>2</b>
COMPONENT 1: IRRIGATION SERVICE PROVISION (US\$167.5 MILLION INCLUDING US\$121.5 MILLION IDA) .....	2
COMPONENT 2: PREPARING LAND-BASED INVESTMENTS AND NATURAL RESOURCES MANAGEMENT SUPPORT (US\$7.3 MILLION INCLUDING US\$1.8 MILLION IDA AND US\$5.58 MILLION GEF) .....	2
SUBCOMPONENT 2.2: NATURAL RESOURCES MANAGEMENT (US\$5.5 MILLION, OUT OF WHICH US\$5.59 MILLION GEF) .....	2
COMPONENT 3: AGRICULTURE DEVELOPMENT AND COMMERCIALIZATION (US\$67.1 MILLION INCLUDING US\$20.1 MILLION IDA) .....	3
COMPONENT 4: PROJECT MANAGEMENT AND COORDINATION (US\$24.0 MILLION, INCLUDING US\$16.6 MILLION IDA – OUT OF WHICH US\$ 6.0 MILLION IS PPA REPAYMENT; AND US\$ 0.25 MILLION GEF) .....	3
<b>1.3 OBJECTIVES OF THIS PROCESS FRAMEWORK .....</b>	<b>4</b>
<b>1.4 ORGANISATION OF THE PROCESS FRAMEWORK .....</b>	<b>5</b>
<b>2.0 PROJECT ACTIVITIES THAT ARE LIKELY TO CAUSE IMPACTS.....</b>	<b>7</b>
<b>2.1 COMPONENT 2: PREPARING LAND-BASED INVESTMENTS AND NATURAL RESOURCES MANAGEMENT SUPPORT. 7</b>	
<b>SUB-COMPONENT 2.2: NATURAL RESOURCE MANAGEMENT .....</b>	<b>7</b>
<b>2.3 POTENTIAL POSITIVE AND NEGATIVE IMPACTS OF PROJECT ACTIVITIES.....</b>	<b>9</b>
<b>3.0 MEASURES TO ASSIST AFFECTED PERSONS MITIGATE IMPACTS .....</b>	<b>10</b>
<b>4.0 ELIGIBILITY CRITERIA FOR PAPS .....</b>	<b>124.1</b>
<b>CUT OFF DATE .....</b>	<b>13</b>
<b>5.0 GRIEVANCE REDRESS MECHANISM .....</b>	<b>13</b>
<b>5.1 PREVENTIVE MEASURES .....</b>	<b>13</b>
<b>5.2 CONSENSUS, NEGOTIATION AND CONFLICT RESOLUTION .....</b>	<b>14</b>
<b>5.3 OBJECTIONS .....</b>	<b>15</b>
<b>6.0 ADMINISTRATIVE AND LEGAL PROCEDURES .....</b>	<b>18</b>

<b>6.1 ADMINISTRATIVE PROCEDURES:</b>	<b>18</b>
<b>6.2 LEGAL PROCEDURES</b>	<b>18</b>
6.2.1 NATIONAL PARKS AND WILDLIFE POLICY	19
6.2.2 FOREST POLICY	19
6.2.3 NATIONAL ENVIRONMENTAL POLICY	19
6.2.4 ENVIRONMENT MANAGEMENT ACT	19
6.2.5 FOREST ACT	19
<b>7.0 MONITORING AND EVALUATION ARRANGEMENTS</b>	<b>20</b>
7.1 PROJECT ADMINISTRATIVE REPORTING	20
7.2 MANAGEMENT EFFECTIVE TRACKING TOOL (METT)	20
7.3 SOCIO-ECONOMIC MONITORING	21
<b>8.0 BUDGET FOR PF IMPLEMENTATION</b>	<b>22</b>
<b>9.0 CONCLUSSIONS AND RECOMMENDATIONS</b>	<b>23</b>
<b>REFERENCES</b>	<b>24</b>

## ACKNOWLEDGEMENTS

This Process Framework has been prepared with the support and consultation of workers and communities in the Lower Shire River Valley where the proposed project activities will be implemented; in the districts of Chikhwawa and Nsanje.

Officials consulted during the preparation of this Process Framework included Directors of Planning and Development, District Forestry Officers, the Division Manager responsible for Majete Wildlife Reserve, Lengwe National Park, Mwabvi Wildlife Reserve, Matandwe Forest Reserve, Environmental District Officers, Chiefs and local communities. Also consulted were Technical Advisors to the Government of Malawi particularly responsible for Biodiversity and Protected Areas and Comanagement.

In addition, a number of senior officers in the, Ministry of Agriculture, Irrigation and Water Development, Environmental Affairs Department, Department of Land Resources Conservation, Department of Forestry, Department of National Parks and Wildlife, Department of Fisheries, and other key line ministries such as the Ministry of Local Government and Rural Development were also consulted.

## ACCRONYMS AND ABBREVIATIONS

DC	District Council
DNPW	Department of National Parks and Wildlife
DoF	Department of Forestry
DEC	District Executive Committee
EAD	Environmental Affairs Department
EDO	Environmental District Officer
ESIA	Environmental and Social Impacts Assessment
EMA	Environment Management Act
ESA	Environmental and Social Assessment
ESMF	Environmental and Social Management Framework
GoM	Government of Malawi
GWP	Global Wildlife Program
IDA	International Development Agency
IGA	Income Generating Activity
IFRM	Integrated Flood Risk Management Plan
METT	Management Effectiveness Tracker Tool
MoAIWD	Ministry of Agriculture, Irrigation and Water Development
NGO	Non-Governmental Organization
NLP	National Land Policy
OP	Operational Policy
PDO	Project Development Objective
PPA	Project Preparation Advance
PF	Process Framework
PRA	Participatory Rural Appraisal
RPF	Resettlement Policy Framework
SRB	Shire River Basin
SRBMP	Shire River Basin Management Project
SVIP	Shire Valley Irrigation Project
SVTP	Shire Valley Transformation Program
VNRMC	Village Natural Resources Management Committee
WVEC	Water, Waste and Environment Consultants

## EXECUTIVE SUMMARY

The Government of the Republic of Malawi has received a Project Preparation Advance (PPA), on the proceeds of a credit from the International Development Association (IDA) of the World Bank, to finance the preparation of the Shire Valley Transformation Program - I (SVTP-I) as first project of the Shire Valley Transformation Program (SVTP). The World Bank plans to assist the Government of Malawi with the financing of this Project, as part of a series of three projects, the first phase of which will have a duration of 6 years).

The Program Development Objective (PDO) for the longer-term Shire Valley Transformation Program (SVTP) would be to improve the management and utilization of natural resources in a sustainable way to increase agricultural productivity and commercialization for targeted households in the Shire Valley. The SVTP-I PDO is to provide access to reliable gravity fed irrigation and drainage services, secure land tenure for smallholder farmers, and strengthen management of wetlands and protected areas (Figure 1) in the Shire Valley.

The SVTP is a 14-year program (2018-2032) structured around three coordinated pillars: (i) Providing reliable, professionally managed and sustainably financed irrigation service to a large number of irrigators in a phased construction of the Shire Valley Irrigation Project scheme and providing multiple services including water supply; (ii) Support farmer organization within a comprehensive land use plan; supporting land tenure strengthening and consolidation; as well as natural resources management; and (iii) Establishment of smallholder owned commercial farm enterprises transitioning into commercial agriculture from subsistence farming and integrating them into commercial value chains. These pillars all contribute to the overarching goals of the program, and build on each other in a phased approach. This programmatic approach, supported by the Bank and other development partners through a Series-of-Projects reflects: a) the size and complexity of the scheme and the time needed to develop irrigated and supporting infrastructure that would in turn allow for agricultural transformation; b) high overall development costs that require the development of the program in phases; and c) the recognition that investment requirements evolve during program lifetime with an initial focus on infrastructure and a gradual shift to agricultural production, value addition and investment support. The programmatic approach allows flexibility not only for catalytic investments in infrastructure early on in the program, but also for modifications in downstream agricultural development and the second phase of scheme development as agricultural and water challenges are progressively managed.

This project is the first of three sequential but partially overlapping phases (with different financiers entering at different times and in parallel financing arrangements). In general terms, SVTP-I initiates the process on all pillars with a major focus on irrigation service provision to the SVTP-I area, land tenure, farmer organization and natural resource management as these precede any downstream development. While not investing heavily yet in areas of agricultural commercialization and investment promotion, it incorporates the vision and principles of agricultural modernization and commercialization and prepares for downstream investments under SVTP-II, which shifts investment focus to agricultural investment, private sector and value chain support. Finally, SVTP-III is the massive scale up phase of investments to the SVTP-II area.

A process framework is prepared when Bank-supported projects may cause restrictions in access to natural resources in legally designated parks and protected areas. The purpose of the process framework is to establish a process by which members of potentially affected communities participate in design of project components, determination of measures necessary to achieve resettlement policy objectives, and implementation and monitoring of relevant project activities

(this is governed by World Bank OP 4.12). Specifically, the process framework describes participatory processes by which the following activities will be accomplished: (a) Project components will be prepared and implemented; (b) Criteria for eligibility of affected persons will be determined; (c) Measures to assist affected persons in their efforts to improve their livelihoods or restore them; (d) Potential conflicts or grievances within or between affected communities will be resolved.

The activities under sub-component 2.2 related to Natural Resources Management include activities to improve management of conservation areas and specifically protected areas. These activities may trigger involuntary restriction of access to legally designated parks and protected areas, potentially resulting in adverse impacts on livelihoods of the affected persons. Project activities under this sub-component might require restricting access to natural resources within the designated National Parks, Wildlife and Forest Reserves, and the Elephant Marsh. The activities might also involve the temporary or permanent prohibition of affected persons to enter these areas.

In line with OP 4.12, the objective of the Process Framework (PF) is to ensure meaningful participation of any Project Affected Persons (PAPs), as a consequence of project-induced involuntary restriction of access to legally designated protected areas. This restriction could adversely affect the livelihoods of the PAPs.

The principle behind preparation of this PF is to ensure that PAPs affected by the project do not become worse off as a result of the project, but rather are assisted in their efforts to restore or improve their livelihoods, in a manner that maintains the environmental and social sustainability of the protected areas.

The PF is designed to guide the determination of project affected persons from involuntary restriction of access to legally designated protected areas and the Elephant Marsh. It will provide guidance in ensuring that project affected persons benefit from the natural resources found in these protected areas and that adequate resources are provided for alternative livelihoods. The potential impacts to be generated by (continued or increased) restriction of access to legally designated protected areas and gazettement of the Elephant Marsh include:

***The Positive Impacts:***

- Increased Nature-based tourism to protected areas which will benefit park management but also local communities (e.g. guides, community lodges);
- Improvement in Sustainable Livelihoods in communities surrounding protected areas;
- Increase in animal numbers inside the protected areas due to improved law enforcement;
- Reduced human and wildlife conflicts especially for Lengwe NP and Elephant Marsh where buffalo and hippo have been in regular conflict with local communities around the protected area;
- Reduced crop damage by wildlife such as elephants, buffalos, baboons, and hippos outside the protected areas;
- Participatory and sustainable natural resources management through community initiatives such as community policing (e.g. reporting any community members that engage in illegal activities such as wildlife poaching or encroachment);
- Communities may also assist park management by reporting to them if any section of the security fence (Majete WR, Lengwe NP, Mwabvi WR) is broken so that repairs can be

effected quickly before wild animals come to destroy their crops and also threaten the lives of community members;

- Community investments such as community fisheries, conservation agriculture, IGAs, fuel efficient stoves, solar lighting, savings and loans schemes etc;
- Social accountability on the part of communities due to improved and sustainable availability of natural resources bamboos, reeds, thatch within the controlled/protected areas;
- Savings and Loans schemes to the local communities (especially in relation to comanagement).

***The Negative Impacts:***

- Restricted Use of Natural Resources from protected areas for domestic use and associated losses of income;
- Conflicts between communities adjacent to National Parks or Forest Reserves and the authorities of the protected area;
- Reduced income from illegal use of natural resources from the protected areas;
- Potential Human-Wildlife Conflicts as a result of increased wildlife populations in the protected areas.

As a safeguard document, the PF (supported by RPF) will be useful to several stakeholders who will be involved in planning, implementation and monitoring of the proposed project activities. Some of the key users of this PF are:

- Funding agencies/donors for the SVTP;
- Department of National Parks and Wildlife;
- Department of Forestry;
- Participating sectors in the implementation of the SVTP;
- Politicians and local traditional leaders;
- Senior central government officials responsible for policymaking and project planning;
- Central government officials responsible for resettlement planning and management; and
- Engineers and contractors to be involved in implementation of the project activities.

The PF recommends that the proposals made herein (and those made in the RPF) must be implemented adequately to mitigate the adverse impacts of the project activities; and to enhance the positive attributes. It is also recommended that the SVTP and District Councils ensure that income levels and standards of living for the affected persons should be restored through provision of alternative income generating activities.



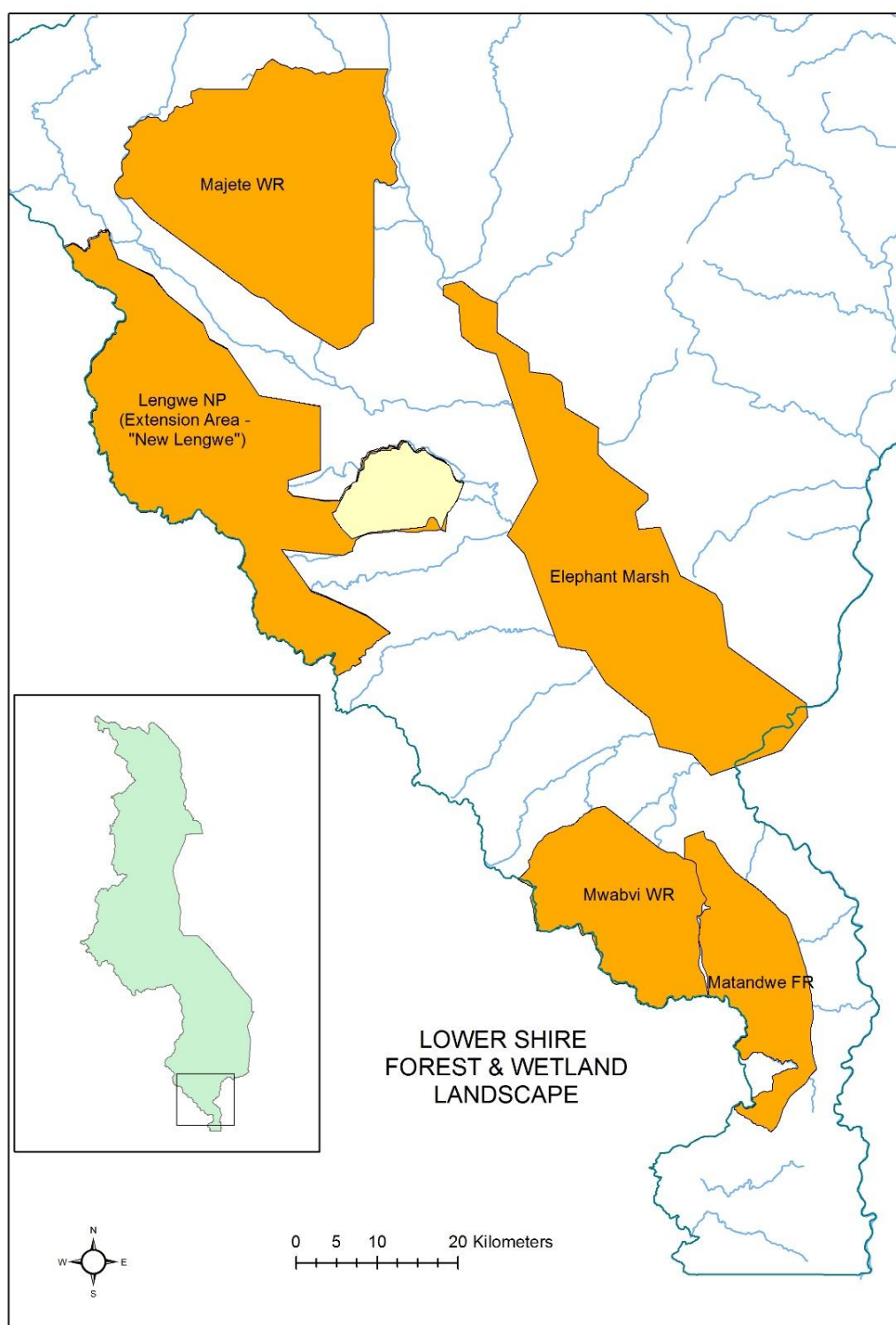


Figure 1. Map depicting the focal protected area sites that will be supported with GEF -6 funding.

## 1.0 INTRODUCTION

### 1.1 *Project Description*

The SVTP is a 14-year program (2018-2032) structured around three coordinated pillars: (i) Providing reliable, professionally managed and sustainably financed irrigation service to a large number of irrigators in a phased construction of the Shire Valley Irrigation Project scheme and providing multiple services including water supply; (ii) Support farmer organization within a comprehensive land use plan; supporting land tenure strengthening and consolidation; as well as natural resources management; and (iii) Establishment of smallholder owned commercial farm enterprises transitioning into commercial agriculture from subsistence farming and integrating them into commercial value chains. These pillars all contribute to the overarching goals of the program, and build on each other in a phased approach. This programmatic approach, supported by the Bank and other development partners through a Series-of-Projects reflects: a) the size and complexity of the scheme and the time needed to develop irrigated and supporting infrastructure that would in turn allow for agricultural transformation; b) high overall development costs that require the development of the program in phases; and c) the recognition that investment requirements evolve during program lifetime with an initial focus on infrastructure and a gradual shift to agricultural production, value addition and investment support. The programmatic approach allows flexibility not only for catalytic investments in infrastructure early on in the program, but also for modifications in downstream agricultural development and the second phase of scheme development as agricultural and water challenges are progressively managed.

This project is the first of three sequential but partially overlapping phases (with different financiers entering at different times and in parallel financing arrangements). In general terms, SVTP-I initiates the process on all pillars with a major focus on irrigation service provision to the SVIP-I area, land tenure, farmer organization and natural resource management as these precede any downstream development. While not investing heavily yet in areas of agricultural commercialization and investment promotion, it incorporates the vision and principles of agricultural modernization and commercialization and prepares for downstream investments under SVTP-II, which shifts investment focus to agricultural investment, private sector and value chain support. Finally, SVTP-III is the massive scale up phase of investments to the SVIP-II area.

The first project under the program (SVTP-I) will initiate the process of transformation of the Shire Valley and pave the way for agricultural commercialization and improved natural resource management at the landscape level. The indicative objectives for the second and third phases would be to increase agricultural productivity in targeted smallholder-owned commercial farm enterprises; support value chain and value addition; extend area supported with irrigation and farm development; and continue and expand efforts to address land degradation and sustainable management of forests, wetlands and protected areas.

## **1.2 Overview of Project Components**

The SVTP is organized in four components, and this process framework is specifically targeting activities on conservation areas under component 2.2:

### **Component 1: Irrigation Service Provision**

This component will finance the works, goods and services necessary to develop irrigation and drainage infrastructure in the SVIP-I area. This includes preparation of detailed designs, construction of the physical bulk water conveyance and main distribution system, major drainage and service and access roads. Provisions will be made for SVIP-II area in terms of canal dimensions, right of way, and preparatory studies. In parallel, the component will support spatial planning in the wider project area to ensure the irrigation scheme is well integrated with other land uses and natural resources. This Component is split into two sub-components: Subcomponent 1.1 (Infrastructure Development (US\$165 million, out of which US\$119.0 million IDA)) and Subcomponent 1.2 (Support to Effective and Sustainable Irrigation Management, Operation and Maintenance (US\$2.5 million, out of which US\$2.5 million IDA)). Subcomponent 1.2 will support the establishment of a professional management, operation and maintenance system for the scheme.

### **Component 2: Preparing land-based investments and natural resources management support**

Sub-component 2.1 will finance the works, goods and services in support of addressing security of land tenure and organizing farmers for commercial production – as a first step in developing commercially oriented agriculture. This subcomponent supports coordinated pilot implementation of the new legal framework for land administration. Subcomponent 2.2 supports natural resources management in an effort to broaden the multisectoral benefits of the program and enhance environmental sustainability as part of the transformation program. The program will invest in protected areas, the Elephant Marshes and associated activities that will support improved natural resource management and the development of a broader land use plan for the Shire Valley.

#### **Subcomponent 2.2: Natural Resources Management**

Investments at field level will focus on addressing land degradation immediately upstream of the offtake in the Kapichira sub-catchment and targeted investments at Lengwe National Park, Mwabvi and Majete Wildlife Reserves, Matandwe Forest Reserve and the Elephant Marshes Proposed Sustainable Use Wetland Reserve. These conservation areas protect watersheds in the vicinity of areas targeted for irrigation development and, in the case of the Elephant marshes, sustain important fisheries and dry season agriculture and livestock grazing. The marshes will shortly be proposed to the Ramsar Convention as a Wetland on International Importance and as Malawi's first Sustainable Use Wetland Conservation Area. At landscape and park level, this component would: (i) Invest in community-level natural resource management in areas adjacent to the above conservation and irrigation areas and in wildlife corridors, (ii) Provide targeted support to these conservation areas to strengthen conservation and community

management and encourage private sector investments (e.g. by tourism concession investors) that could boost revenues for re-investment in local community development and conservation management, (iii) Invest in establishment of the Elephant Marsh Sustainable Use Wetland Community Conservation Area, with a strong emphasis on community-based natural resources management strategies, based on the wetland management plan currently being finalized with the support of the Shire River Basin Management Program (SRBMP). The above will be complemented by investments at national level, including technical assistance, measures to enable improved use of geospatial and mapping applications, actions to address illegal logging and combat wildlife crimes; and support for trans-frontier cooperation and operations (Lengwe NP, Mwabvi WR, Majete WR and Elephant Marsh are aligned along national borders).

### **Component 3: Agriculture Development and Commercialization**

Financial sustainability of the SVIP irrigation investment can only be achieved through profitable agricultural production. Farms will need to be linked to Commercial Value Chains for production and sale of their produce. Development of commercial value chains will be needed to enable farmers to gain access to markets and commercial services; this is essential to enable viable commercial agriculture. The process of capacitating farmers for commercial production will begin immediately after the project is commenced so that farmers will be ready for commercial operation when the irrigation infrastructure is completed. This component will pave the way for major scale up in SVTP-II. This Component is split into two Subcomponents: 3.1 (Farmer group formation and land consolidation (US\$7.2 million, out of which US\$7.2 million IDA)) and 3.2 (Farm and Commercial Value Chain Development (US\$68.9 million, out of which US\$12.9 million IDA)).

### **Component 4: Project Management and Coordination**

This component will finance the multiple coordination and management needs of a project of this scale and focus on the roll out of the communications strategy and manage grievance redress mechanisms, as well as day-to-day management of the project. The sub-component will finance project management structures that have been established and in place throughout project preparation. Fiduciary management will be with the Program Technical Team (PTT), and procurement and Financial Management (FM) staff have been recruited and the positions need to be maintained. The project will provide funding for professional and support staff to strengthen the Technical Team and facilitate its operations, including procurement, financial management, environmental and social safeguards specialists, as well as a diverse range of short term expertise and annual external audits. There are also provisions for workshops, meetings and training courses. This component will also finance the implementation of all safeguards measures as described in the ESIA and RPF including compensation for resettlement. The component will be supporting the resettlement and compensation mechanisms at the early stage of the canal construction by supporting GoM in identifying the people affected by the project (PAPs), formulating a Resettlement Action Plans (RAP), and support RAP implementation. Different participatory mechanisms will also be developed in order to facilitate the voluntary inclusion of PAPs in the farming blocks. During the construction of the irrigated blocks, new mechanisms of compensation will be established to contribute to household food security for those who will not be able to grow their usual rainfed crops. Specialized firms in resettlement process will be hired to support the GoM in formulating and implementing the RAP. These are detailed in the RPF.

### **1.3 Objectives of this Process Framework**

A process framework is prepared when Bank-supported projects may cause restrictions in access to natural resources in legally designated parks and protected areas. The purpose of the process framework is to establish a process by which members of potentially affected communities participate in design of project components, determination of measures necessary to achieve resettlement policy objectives, and implementation and monitoring of relevant project activities (this is governed by World Bank OP 4.12). Specifically, the process framework describes participatory processes by which the following activities will be accomplished: (a) Project components will be prepared and implemented; (b) Criteria for eligibility of affected persons will be determined; (c) Measures to assist affected persons in their efforts to improve their livelihoods or restore them; (d) Potential conflicts or grievances within or between affected communities will be resolved.

The objective of the Process Framework (PF) is to ensure meaningful participation of any Project Affected People (PAPs), as a consequence of project-induced involuntary restriction of access to legally designated protected areas, which could adversely affect the livelihoods of the PAPs. The principle behind preparation of PF is to ensure that PAPs affected by the project do not become worse off as a result of the project, but rather are assisted in their efforts to restore or improve their livelihoods in a manner that maintains the environmental and social sustainability of the protected areas.

Specific objectives of the PF include:

- (a) describe activities that may involve new or more stringent restrictions on use of natural resources in the SRB;
- (b) describe the mitigation and compensation measures; and
- (c) describe the participatory monitoring and evaluation arrangements with communities in and around the project-supported protected areas.

The PF is an extension of the RPF, due to the integrated nature of the SVTP and to ensure coordinated efforts to enhance the livelihoods of project-affected persons. The PF is meant to address issues specifically related to the restriction of access to legally designated National Parks and other protected areas, as stipulated in the National Parks and Wildlife Act 2004 and the Forestry Act 1995.

Under the National Parks and Wildlife Act (2004) section 35 (Section 108 provides for penalties revised in the National Parks and Wildlife Act Amendment 2017), undertaking the following activities the person shall be guilty of an offence either within a national park or wildlife reserves, or immediately outside protected areas:

- (a) hunts, takes, kills, injures or disturbs any wild plant or animal, or any domestic animal or cultivated plant occurring lawfully therein;
- (b) takes, destroys, damages or defaces any object of geomorphological archaeological, historical, cultural, or scientific interest, or any structure lawfully placed or constructed therein;
- (c) prepares land for cultivation, prospects for minerals or mines or attempts any of these operations;

- (d) drives, conveys or introduces any wild animal into a national park or wildlife reserve;
- (e) drives, conveys or introduces any domestic animal into a national park or wildlife reserve or who permits any domestic animal, of which he is for the time being in charge, to stray into a national park or wildlife reserve, shall be guilty of an offence.

Similarly, under the Forestry Act (1997), nobody is allowed to cut down trees and collect firewood inside forest reserves without a permit. If found doing these said acts, the person will be guilty of an offence under the Forestry Act. In the case of national protected tree species or sometimes called endangered tree species, no one is allowed to cut them without permit even when found to do so outside protected areas. These restrictions are not only imposed within the Shire River Basin but throughout the country. However, with the introduction of collaborative management in national parks such as Lengwe, and forest reserves such as Matandwe, surrounding communities are allowed to freely access these protected areas, just like any other protected areas in the country, to collect such resources as firewood, thatch grass and bamboos mushrooms when in season. Matandwe Forest Reserve is under comanagement agreement with the local communities and there are many activities allowed at this site.

Free access to enter and collect such natural resources from protected areas is however; on condition that the communities get a permit to enter the protected area. Although the Wildlife policy (2000) promotes collaborative management in national parks and wildlife reserves, there are problems that are affecting this otherwise good approach:

- a) There is inadequate capacity on the part of Government officials who are only deployed in a few localised places. For example, in case of Lengwe National Park (887 sq. km), all Park officers are currently housed at the parks head quarters in the “Old Lengwe” around Tomali Trading Centre.
- b) With limited Government financial resources, communities close to park administration tend to benefit more than those far away. For example, communities around Chapananga that may need entry into Lengwe National Park to collect thatch grass must travel all the way to Lengwe Park Administration offices to get a permit for free entry into the Park, covering an approximate distance of 70 km.; compared with communities living around Tomali, who are only about a 1 or 2 km from the Park. Guidelines for collaborative management have been developed, as required by Chapter 9 subsection 9.1 (c) of the Wildlife Policy (2000).

## **1.4 Organisation of the Process Framework**

The PF builds on the Resettlement Policy Framework (RPF) and is organised into the following sections:

- Section 1 gives the project description, overview of project components and activities; objectives and organization of the PF (see RPF for more details);
- Section 2 briefly describes the project and components or activities that may involve new or more stringent restrictions on natural resource use. It also describes the process by which potentially displaced persons participate in project design and implementation. It also provides a comparative analysis of the legal framework between Malawi and the World Bank Safeguards policies;

- Section 3 describes methods and procedures by which communities will identify and choose potential mitigating or compensating measures to be provided to those adversely affected, and procedures by which adversely affected community members will decide among the options available to them;
- Section 4 establishes criteria on how the potentially affected communities will be involved in identifying any adverse impacts of, assessing the significance of impacts, establishing the criteria for eligibility for any mitigating or compensating measures necessary, as well as in implementing the core recommendations of the PF;
- 
- Section 5 describes the process for resolving and managing disputes relating to resource use restrictions that may arise between or among affected communities, and grievances that may arise from members of communities who are dissatisfied with the eligibility criteria, community planning measures or implementation trend;
- Section 6 reviews agreements reached regarding the process to be followed with relevant administrative jurisdictions and line ministries (including clear delineation for administrative and financial responsibilities under the project);
- Section 7 reviews arrangements for participatory monitoring and evaluation of project activities as they relate to (beneficial and adverse) impacts on persons within the project impact area, and for monitoring and evaluating the effectiveness of measures taken to improve (or at least restore) incomes and living standards;
- Section 8 provides an estimated budget for the proposed activities.
- Section 9 provides conclusions and recommendations.

## 2.0 PROJECT ACTIVITIES THAT ARE LIKELY TO CAUSE IMPACTS

Subcomponent 2.2 Natural Resource Management may trigger the involuntary restriction of access to legally designated parks and protected areas, potentially resulting in adverse impacts on the livelihoods of the affected persons. Project activities in these components might require the restriction of access to natural resources within the designated National Parks and other protected areas within the project areas. The activities might also involve the temporary or permanent prohibition of persons to enter these areas.

More specifically, the following sub-component may restrict access to resources or movement of affected persons to the Lengwe National Park, Mwabvi and Majete Wildlife Reserves, Matandwe Forest Reserve, and proposed Elephant Marsh Community Conservation Area.

### ***2.1 Component 2: Preparing land-based investments and natural resources management support***

#### ***Sub-component 2.2: Natural Resource Management***

Investments at field level will focus on addressing land degradation immediately upstream of the offtake in the Kapichira sub-catchment and targeted investments at Lengwe National Park, Mwabvi and Majete Wildlife Reserves, Matandwe Forest Reserve and the Elephant Marsh Proposed Sustainable Use Wetland Reserve. These conservation areas protect watersheds in the vicinity of areas targeted for irrigation development and, in the case of the Elephant Marsh, sustain important fisheries and dry season agriculture and livestock grazing. The Marsh will shortly be proposed to the Ramsar Convention as a Wetland on International Importance and as Malawi's first Sustainable Use Wetland Community Conservation Area. At landscape and park level, this component would: (i) Invest in community-level natural resource management in areas adjacent to the above conservation and irrigation areas and in wildlife corridors, (ii) Provide targeted support to these conservation areas to strengthen conservation and community management and encourage private sector investments (e.g. by tourism concession investors) that could boost revenues for re-investment in local community development and conservation management, (iii) Invest in establishment of the Elephant Marsh Sustainable Use Wetland Community Conservation Area, with a strong emphasis on community-based natural resources management strategies, based on the wetland management plan currently being finalized with the support of the Shire River Basin Management Program (SRBMP). The above will be complemented by investments at national level, including technical assistance, measures to enable improved use of geospatial and mapping applications, actions to address illegal logging and combat wildlife crimes; and support for trans-frontier cooperation and operations (Lengwe NP, Mwabvi WR, Majete WR and Elephant Marsh are aligned along national borders).

It should be noted that the control of consumptive uses is quite limited in reality, with a considerable amount of illegal harvesting, particularly in areas that are relatively accessible by the villages. There are serious limitations in ensuring adequate control over use in these protected areas, mainly due to inadequate capacity by those with authority to issue permits and monitor collection of the permitted resources from protected areas. Examples of illegal harvesting of natural resources in protected areas include the cutting of Mopane Trees in Lengwe National Park and Mwabvi Wildlife Reserve. In Lengwe National Park, DNPW has been recently locked in a long a



protracted court case involving 35 peoples arrested deep inside the Extension Area (New Lengwe). They were found guilty of timber theft of large areas of Mopane woodlands and it seems that this problem is extensive within this park of the park.

From what was seen on the ground, the Departments Forestry and Fisheries are less able than the Department of National Parks and Wildlife in terms of lack of human and financial resources to adequately manage the protected resources. As a result of inadequate capacity, there is an increase in unsustainable harvesting of the resources by the communities surrounding these protected areas. To mitigate against these problems, there is need to ensure that the Village Natural Resources Management Committees (VNRMCs), established around the protected areas within the Shire River Basin, assist in the management of these protected areas. These committees must be properly trained and given the necessary resources to enable them perform their duties effectively. In addition to training and provision of the necessary resources, VNRMCs need to be closely supervised.

Under the co-management of Matandwe Forest Reserve support would be provided for the implementation of forest rehabilitation and forest management activities in the forest reserves involving local communities following prescriptions stipulated in the management plans and agreements: including tree seedling production and tree planting; natural regeneration initiatives; bamboo afforestation and bamboo charcoal production; forest boundary maintenance; law enforcement to curb illegal activities in the reserves such as charcoal production, forest product harvest, encroachment and poaching. The other activity would be the undertaking of a comprehensive forest resource survey/inventory to monitor progress in forest rehabilitation/recovery as well as forest utilisation potential. Capacity building initiatives would also be undertaken at community, front line staff and local governance levels in areas such as forest management, seedling production, forest product value addition and marketing, financial management, the development of program sustainability strategies and conflict resolution. In order to improve community livelihoods, support would be provided to communities for IGAs establishment and/or effective management in areas such as: beekeeping; livestock production; timber/firewood harvest and sale; tree seedling production and sale; woodlot establishment on customary land; and the establishment/management of Village Savings and Loan Schemes in the impact area. The above would be supplemented by the organisation/facilitation of stakeholder and other ad hoc meetings, as well as, the undertaking of a comprehensive M&E process involving the Web-based Co-management Database system currently being developed; Process Monitoring, METT Scoring and Consultant Deliverables for the effective monitoring of the program especially at grass-root/field level.

One mechanism that has been employed in other NPs in Malawi by DNPW is the implementation of a National Wildlife Conservation Fund Order in 2013. This divides the revenue taken at regional divisional level (northern, central, and southern) by National Parks and Wildlife Reserves into 50% for park management, 25% for local communities, and 25% for Government Account No. 1. This revenue sharing is administered through the DNPW headquarters based in Lilongwe.

Activities for establishment of participatory management for the 600km<sup>2</sup> Elephant Marshes, and pilot community resource management could result in restrictions of access to natural resources for some people around the Marsh. When the RAMSAR management plan is implemented portions of the Marsh will be gazetted as Usage and Non-Usage Zones, both positive and negative impacts

would be expected. Positive impacts of RAMSAR designation of the Elephant Marsh will include the following:

- Increase in the populations of hippos, crocodiles, fisheries resources and other biological resources such as bird species which currently are declining rapidly due to unsustainable harvesting;
- Promotion of tourism, which will in turn contribute to the increased availability of the much-needed foreign currency;
- Through collaborative and sustainable management, make available natural resources for the benefit of local communities around and inside the Elephant Marsh;
- Reduction of human-wildlife conflicts as a result of improved wildlife management (hippo fences), and also more game scouts to protect the biodiversity and the people;
- A form of comanagement control will provide a sense of responsibility and control to the local communities.

The negative impacts of gazettement the Elephant Marsh as a RAMSAR site may result in the following:

- Limited access to the biological resources by the communities, which are freely accessing them at the moment;
- Increased human-wildlife conflicts, resulting from increased population of hippos and crocodiles.

## **2.3 Potential Positive and Negative Impacts of Project Activities**

### ***The Positive Impacts:***

- Increased Nature-based tourism to protected areas which will benefit park management but also local communities (e.g. guides, community lodges);
- Improvement in Sustainable Livelihoods in communities surrounding protected areas;
- Increase in animal numbers inside the protected areas due to improved law enforcement;
- Reduced human and wildlife conflicts especially for Lengwe NP and Elephant Marsh where buffalo and hippo have been in regular conflict with local communities around the protected area;
- Reduced crop damage by wildlife such as elephants, buffalos, baboons, and hippos outside the protected areas;
- Participatory and sustainable natural resources management through community initiatives such as community policing (e.g. reporting any community members that engage in illegal activities such as wildlife poaching or encroachment);
- Communities may also assist park management by reporting to them if any section of the security fence (Majete WR, Lengwe NP, Mwabvi WR) is broken so that repairs can be effected quickly before wild animals come to destroy their crops and also threaten the lives of community members;

- Community investments such as community fisheries, conservation agriculture, IGAs, fuel efficient stoves, solar lighting, savings and loans schemes etc;
- Social accountability on the part of communities due to improved and sustainable availability of natural resources bamboos, reeds, thatch within the controlled/protected areas;
- Savings and Loans schemes to the local communities (especially in relation to comanagement).

***The Negative Impacts:***

- Restricted Use of Natural Resources from protected areas for domestic use and associated losses of income;
- Reduced income from illegal use of natural resources from the protected areas;
- Potential Human-Wildlife Conflicts as a result of increased wildlife populations in the protected areas.

### **3.0 MEASURES TO ASSIST AFFECTED PERSONS MITIGATE IMPACTS**

A fundamental objective of this Process Framework is to ensure that populations affected by restrictions to natural resource use themselves define and undertake activities that at least restore their income to the levels they would have enjoyed, had there been no restrictions. This objective ensures that the extent of compensatory measures is commensurate with the extent of loss of access to resources due to restrictions. This also ensures that those who are affected more severely are assisted to a greater extent than those who incur smaller losses. Further, this PF advocates that no restrictions to resource use can be implemented in the local area until compensatory measures have been defined and accepted and are also being implemented for the affected population.

The Environmental and Social Management Plan (ESMP) for the SVIP project has identified various measures that will be implemented to assist the affected communities, in improving or at least maintaining their standards of living. The ESMP as well as the PF are designed to respond to the principal considerations of the World Bank's Involuntary Resettlement Policy (OP 4.12) as they pertain to the project.

Equitable and mutually acceptable mitigation and compensatory measures for PAPs losses have to be determined and to be adopted in tandem with application of the ESMP along with the RPF during project implementation. The Project ESMP, and to a certain extent the RPF, present the detailed list of mitigation measures proposed to address each of the potential impacts. Specific measures to mitigate adverse impacts on beneficiary local communities would include the but not limited to the following:

- Prioritize local community members for employment opportunities such tour guiding and park ranging;
- Expand reserve village user zones for sustainable harvesting of forest products;

- Provide capacity building and trainings to Village Natural Resources Management Committees and Community Based Organisations, in sustainable use and monitoring of natural resources, including conservation agriculture and community fisheries;
- Community members wishing to traverse the National Parks should obtain a permit from DNPW, and should be allowed only on specific and controllable routes during daylight;
- Increase production and use of deterrents such as bespoke fences, chilli briquettes and bee hive fences to deter human-wildlife conflicts (particularly with hippos and elephants);
- Ensure clearly visible demarcation of National Park, Wildlife Reserve, and Forest Reserve boundaries in sensitive areas;
- Promote establishment of sustainable village woodlots, to progressively reduce pressure on resources from forest reserve;
- Provide alternative livelihood support such as collection of non-forest products including mushrooms, medicinal plants, wild fruits and bee- keeping to local communities around Forest Reserves;
- Establish and promote Community Development Funds to be sustained through various mechanisms such as Corporate Social Tourism Development Responsibilities that would channel a certain percentage of income from all tourism activities as well as from handicraft creation and commercialisation, in the DNPW centres and Lodges;
- Provide new business opportunities through both the establishment of DNPW focal points/resource person in each participating village, as well as train designated village-candidates into conservation and security techniques that yield earnings for/to local communities;
- Conduct project awareness-raising campaigns, to local communities, on the importance of sustainable natural resources management.

Table 1 summarises the planned mitigation measures related to restrictions of natural resource use from National Parks and Forest Reserves.

<b>TABLE1.: Potential Mitigation Measures for Natural Resource Use Restrictions</b>	
<b>Resource Use Restriction</b>	<b>Potential Mitigation Measure</b>
Forest use for grazing	Improved forage production and rearing conditions to encourage and enable farmers to shift to fodder-based systems.
Fuel wood and timber	Support for community-based reforestation and management of degraded forest land.  Demonstrations and support for local production of fuel-efficient stoves, and of alternative energy sources.  Department of Forestry to sell harvested wood to locals.
Non-timber forest products (mushrooms, berries, medicinal herbs and other fruits)	Accommodating controlled harvesting by locals to the extent possible, in protected area management plans.  Provide support for increasing value of the products through processing (jams and jellies, juices, etc.) and marketing, within the context of a managed and monitored harvesting system.

TABLE1.: Potential Mitigation Measures for Natural Resource Use Restrictions	
Resource Use Restriction	Potential Mitigation Measure
	Provide support for enterprises based on cultivation of valuable species (mushrooms, medicinal plants, etc.).
Hunting	Income-Generating Activities (e.g. tourism, beekeeping, livestock rearing, handicrafts, bakery, maize milling etc.) supported by the project will help to compensate for economic losses.

The wetland conservation and management activities planned around the Elephant Marsh are expected to be highly positive from an environmental and social standpoint.

## 4.0 ELIGIBILITY CRITERIA FOR PAPs

Selection of villages to participate in the ecological management sub-component would not be made until the first year of project implementation. The selection would be based on the results of the participatory rural appraisal (PRA), census as well as threats analysis, conducted during the project planning process, to identify sources of the major threats to the National Parks and Forest Reserves.

Participating villages would be identified, based on their level of dependence on the natural resources within the protected areas, the degree of threat that these uses pose to the National Parks and Forest Reserves, and the anticipated severity of adverse impact to livelihoods from imposition of any proposed use restrictions.

The results of the PRA, census and the threats analysis will be used (i) to ensure that the project provides various benefits to eligible natural resource-dependent households, whose livelihoods could be adversely affected by the project, in the project areas and (ii) to help define project activities that will assist them in improving their livelihoods, both by enhancing and improving the sustainability of the natural resource base and by identifying alternative sources of income (e.g., skills training, small grants, technical extension, etc.).

Based on the results of the PRA surveys and the threats analysis, the Coordinating Committees will (i) determine the eligibility of villages as well as confirm the eligibility of households within the eligible villages and (ii) select co-management sites in or around each of the National Parks and Forest Reserves, on the basis of potential severity of livelihood impacts. Critical communities (i.e., those which are dependent on the parks and forest reserve, pose a threat to the protected areas, and would be adversely affected by proposed use restriction), as identified in the management planning process, will get priority for project activities under ecological management. Other communities, either less impacted or exerting less pressure on nature reserve natural resources, may not be able to participate.

A minimum of ten villages (two per protected area) will be selected to participate in co-management activities, including alternative livelihood measures. For protected areas in which project activities would adversely affect the livelihoods of local people in more than two villages, the other villages would be deemed eligible and would be included, and an increased level of local government counterpart funding would be in place to cover the costs of the additional villages. Another group of villages will be selected to participate in fuel wood management and/or technical training activities. In addition, another set of villages will be supported in community-based wildlife management demonstration activities.

## **4.1 Cut Off Date**

PAPs, community leaders and their community members shall be widely consulted and be well informed of the cut-off date, after which any new settlements or encroachment within the project impact area will not be tolerated or compensated for. Compensatory assistance will be provided only to those people who are established in the area, would be affected by the project, and have assets determined and recorded during a census.

When setting the cut-off date, all measures shall be taken to avoid a “rush” into the area or other potential areas that may come into the list of subprojects at a later date. Opportunistic invasions of possible subproject sites constitute a major potential risk to the project, especially where subprojects may be chosen from a very limited set of alternatives that become publicly known before setting the cut-off-date.

Depending on the number, sequence, and magnitude of subprojects, one or several rolling cut-off-dates may be advisable. This may be accomplished, with minimum risk to the project, by extensive public consultation to create mutual awareness of the existing PAPs and assets in the proposed subprojects areas, as well as setting limitations on the extent of immigration. The Area Executive Committees and the Local Leaders shall assist in disseminating information about the dangers, consequences, and legal implications of opportunistic invasions.

Where there are clearly no identified owners or users of land or assets, the respective District Council will notify the Community Leaders or their representatives to help identify and locate the land users. Neighbourhood or village committees, including outside experts knowledgeable of the people and assets in the affected area, may assist to identify property owners by clearly identifying themselves to the Community Leaders or by taking an oath.

The Local Leaders and representatives will be charged with the responsibility of notifying their members about the established cut-off-date and its significance. The land user(s) will be informed through both formal notifications in writing and by notification through existing local channels, including community radios, and newspapers delivered in the presence of the Local Leaders or their representatives.

## **5.0 GRIEVANCE REDRESS MECHANISM**

Conflicts or grievances may arise from the implementation of project activities or may already exist (e.g. conflicts between people and the parks management). Conflicts generally arise from poor communication, inadequate or lack of consultation, inadequate flow of relevant up-to-date information, lack of trust (on both sides), or restrictions that may be imposed on PAPs. The following paragraphs describe PF specific elements of the GRM, which will be integrated during implementation into overall project GRM design. The overall GRM covers all project activities and has processes related to resettlement, construction and other project related grievances.

### **5.1 Preventive Measures**

For preventive measures, implementation of a good communications strategy is an absolute requirement to reduce misunderstanding and grievances. Project awareness-raising activities will be conducted throughout the life of the project. Consultations and negotiations will be carried out with

PAPs where there are indications of potential conflicts. Since monetary issues are often a source of grievance, another important preventive measure is to provide clear information on the project's policy concerning allowances or entitlements for community members, chiefs and government employees participating in project activities. The same applies for guidelines and procedures for micro-credits or other community funds opportunities likely to be available for the PAPs.

## **5.2 Consensus, Negotiation and Conflict Resolution**

Grievance redress mechanisms would be grounded on existing local models that involve the local community leaders in providing a first level of listening and informal resolution. These leaders, e.g. a local VNRMC/CBO member, will be involved in project consultation. These forums are a natural channel for informal resolution at the village level, as the people are already involved in awareness-raising. Some land- and resource use-related conflicts may also be resolved by a Traditional Authority.

Consensus and negotiations are central to addressing grievances. In general, people are aware of their rights, their commitments to the country as citizens and their allegiance to village and family issues. For this reason, many Government funded community projects have been implemented without obstacles from PAPs. However, some projects have been known to stall due to delays in disbursement of compensation. Prior negotiations between Government representatives and project beneficiaries are therefore crucial to the success of the project.

As a final step, grievances could be taken to the local courts as a last resort for settling the conflicts. It is expected, however (as stated above), that grievances should be resolved by working within existing community structures, so as to ensure peaceful settlement of disputes or conflicts.

If conflicts or complaints are outside the capacity of the community or local authorities to resolve, depending on the issues, they could be presented to:

- Meetings of the District Development Committee or District Executive Committees
- Forest Reserve Manager
- National Park Managers
- Wildlife Reserve Manager

If issues are concerned with project management or implementation of project activities, they should first be presented to the manager for the nearest protected or forest reserve area. When the results are not satisfactory with the complainant, the case can be referred to the SVTP Project Manager. In summary, as a guiding principle, emphasis shall be placed on simplicity and proximity of the conflict resolution mechanisms to the affected persons and the following shall be noted:

- (a) Negotiation and agreement by consensus will provide the best avenue to resolving any grievances expressed by the individual landowners or households affected by development projects. These grievances shall be channelled through the Local Chiefs.
- (b) SVTP shall ensure that the main parties involved achieve consensus freely. SVTP or the relevant government representative shall clearly advise the general public as to who is responsible for handling grievances or compensation claims.

- (c) Grievances shall be addressed during the sub-project review and approval process. SVTP shall defer implementation of project activities with unresolved grievances until a suitable solution is found.
- (d) Grievances for which solutions have not been found shall be referred back to the community for discussion where the Local Leader and District Council will address the matter of concern to assist the claimants. The mediation process will be implemented according to traditional methods of mediation and conflict resolution. The resolution will then be documented on the relevant consent forms and verified.
- (e) If an agreement cannot be reached at community level, the aggrieved party or parties shall raise their concerns to SVTP who shall refer them to the respective District Councils, within 20 days of the verification meeting. Grievances that cannot be resolved at the Local and District level shall be officially communicated the SVTP with copies to the District Council. Should grievances remain unresolved at this level, they can be referred to a court of law.

In all cases, PAPs and communities will be encouraged to resolve conflicts harmoniously. Decisions on how to solve the issue and communication of procedures and decisions will be made in a timely manner (e.g. within 1-2 months). This will promote greater trust in the communication system and improve attitudes towards the project within the community. Information should ideally be returned to the community using the same channels as for the original message. The results will be communicated to all levels and other relevant organizations at the same time to promote transparency and coordination. This reporting may need to be anonymized or aggregated by type and number of complaints so as to protect individuals who do not wish to have their names and issues publicized. If the complainant is not satisfied with the decision of the Project Authority, then as an ultimate step s/he may submit the complaint to the District Development Committee or the District Commissioner.

The overall project GRM will have a grievance log for intake of complaints and record keeping to track complaints from initial logging to resolution. This is monitored at project level and reported in the overall project results framework.

### **5.3 Objections**

The golden rule is that all attempts shall be made to settle grievances amicably. Those seeking redress and wishing to state grievances will do so by notifying their Local Leader. The Local Leader will inform and consult with the District Council to determine validity of claims. If valid, the Local Leader will notify the complainant and s/he will be assisted. If the complainant's claim is rejected, the matter shall be brought before the District Council for settlement. All such decisions must be reached within a full growing season after the complaint is lodged.

The grievance redress mechanism is designed with the objective of solving disputes at the earliest possible time, which will be in the interest of all parties concerned and therefore, it implicitly discourages referring such matters to the Tribunal for resolution.

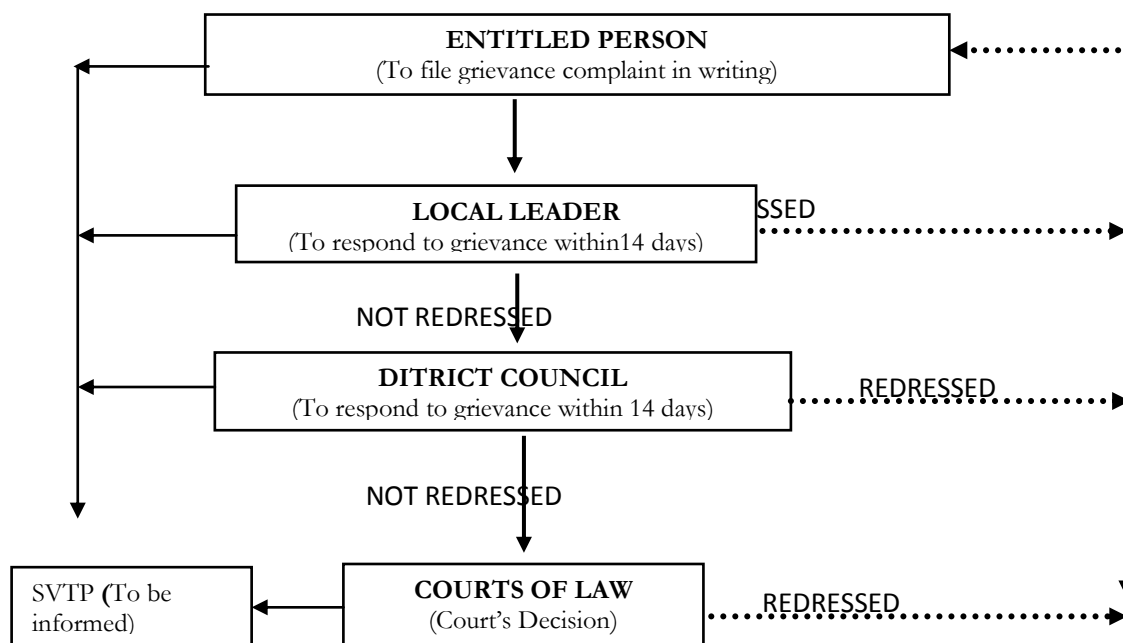
All objections to land acquisition shall be made in writing, in the language that the PAPs understand and are familiar with, to the Local Leader. Copies of the objections shall be sent to SVTP and the Ministry of Agriculture, Irrigation and Water Development within 20 days after lodging the complaint. Channelling complaints through the Local Leader is aimed at addressing the problem of distance and cost the PAPs may have to incur.



Local Leaders shall maintain records of grievances and complaints, including minutes of discussions, recommendations and resolutions made. The procedure for handling grievances should be as follows:

- a) The affected person should file his/her grievance in writing (in English or the local language that s/he is conversant with), to the Local Leader. The grievance note should be signed and dated by the aggrieved person. Where the PAP is unable to write, s/he should obtain assistance to write the note and emboss the letter with his or her thumb print.
- b) The Local Leader should respond within 14 days, during which any meetings and discussions to be held with the aggrieved person should be conducted. If the grievance relates to valuation of assets, experts may be requested to revalue the assets, and this may necessitate a longer period of time. In this case, the aggrieved person must be notified by the Local Leader that his/her complaint is being considered. The Local Leader should try, as much as possible, to use established mechanisms of grievance redress, which may include the presence of peers of the PAP and other local leaders.
- c) If the aggrieved person does not receive a response or is not satisfied with the outcome within the agreed time s/he must lodge his/her grievance to the District Councils and the District Councils must inform the SVTP of the complaint
- d) The Council will then attempt to resolve the problem (through dialogue and negotiation) within 14 days of the complaint being lodged. If no agreement is reached at this stage, then the complaint is taken to the Courts of Law.

The following chart illustrates the sequential steps for the grievance redress mechanism:



In summary, the grievances and conflict resolution procedure has three levels: Informal local resolution, administrative resolution, and finally judicial resolution. Ideally, issues will be resolved at the local level as quickly and as informally as possible. If local resolution of a grievance is not possible informally at the local level, the issue may be referred to administrative authorities for consideration. If it is still not possible to resolve the issue, the complainant, whether an individual or

a group, has the right to take the matter to court, although this is admittedly a long and costly procedure that is only used as a last resort.

## 6.0 ADMINISTRATIVE AND LEGAL PROCEDURES

### 6.1 Administrative Procedures:

Establishing institutional roles and responsibilities related to implementation of the PF is important to ensure that activities are carried out. A number of government departments and local governments, local communities and stakeholders will be called to participate in the appropriate planning and implementation of the activities identified in the PF. Table 2 presents institutional responsibilities for implementation of the PF.

**Table 2: Proposed Roles and Responsibilities for implementation of the PF**

Institution	Roles and Responsibilities
<b>SVTP UNIT</b>	<ul style="list-style-type: none"> <li>• Oversee the preparation (by the consultants) of census, socio-economic survey, and environmental management plan.</li> <li>• Participate in the district level meetings to facilitate land acquisition.</li> <li>• Coordinate with other Government Line Departments for ensuring effective delivery of mitigation and rehabilitation support.</li> <li>• Make budgetary provisions for implementation of community natural resources management activities.</li> <li>• Provide technical support for implementation of the project activities.</li> </ul>
<b>DISTRICT COUNCIL</b>	<ul style="list-style-type: none"> <li>• Sensitizing communities on the PF.</li> <li>• Participating in grievance and conflict resolution.</li> <li>• Supporting communities in preparation of project activities.</li> <li>• Participating in monitoring activities.</li> </ul>
<b>VILLAGE DEVELOPMENT COMMITTEE</b>	<ul style="list-style-type: none"> <li>• Prepare and maintain records for the PAPs.</li> <li>• Prepare plans on physical and financial needs on a monthly basis.</li> <li>• Prepare monthly progress reports.</li> <li>• Monitor the progress of project activities.</li> <li>• Monitor compliance with applicable environmental and social management clauses in the construction contracts.</li> <li>• Coordinating baseline assessments.</li> <li>• Keep financial records for all the project activities and coordinate with the SVTP unit.</li> </ul>
<b>INDIVIDUAL OR AFFECTED PERSONS</b>	<ul style="list-style-type: none"> <li>• Participating in consultations and communication related to the PF.</li> <li>• Identifying project impacts and alternative livelihood options.</li> <li>• Participating in monitoring activities</li> <li>• Implementation of project activities.</li> </ul>
<b>NGOS AND CBOS</b>	<ul style="list-style-type: none"> <li>• May be engaged to participate in the process as witness or observers to grievance and redress mechanisms.</li> </ul>

### 6.2 Legal Procedures

Activities under the PF will be conducted in accordance with the legal procedures related to management of National Parks and Forest Reserves, which are further developed under the RPF. Nevertheless, for the purpose of the PF, some of the relevant policies and laws include:

### **6.2.1 National Parks and Wildlife Policy**

This policy aims at ensuring proper conservation and management of wildlife resources in order to provide for sustainable utilization and equitable access to the resources and fair sharing of benefits from the resources, both for present and future generations. The policy underscores the importance of actively engaging communities living around the wildlife areas in promoting proper management of National Parks and wildlife. The National Parks and Wildlife Act underwent an Amendment in 2017 which provides mostly on revised penalties for wildlife crimes.

### **6.2.2 Forest Policy**

This policy aims at promoting sustainable contribution of national forests, woodlands and trees towards the improvements of the quality of life in the country. This is to be achieved by conserving the resources for the benefit of the nation and to the satisfaction of diverse and changing needs of the Malawi population, particularly local communities. The main goal of the forest policy is therefore to reduce the degenerative impact of development on the environment, associated with poverty. It also aims at creating an enabling environment for promoting participation of the private sector in forest conservation and management, eliminating restrictions on sustainable harvesting of essential forest products by local communities, and promotion of planned harvesting and regeneration of the forest resources by village forest authorities.

### **6.2.3 National Environmental Policy**

The overall policy goal is to promote sustainable social and economic development through sound management of the environment. This policy calls for the integration of environmental concerns into national, district and community level planning processes. Some of the high priority areas of this policy include efficient utilization and management of natural resources, promotion of public participation, enhancement of public awareness, and cooperation with other institutions.

### **6.2.4 Environment Management Act**

The Act is the principal national environmental legislation that provides administrative functions for environmental management.

### **6.2.5 Forest Act**

The Forestry Act (1997) guides the management of indigenous forests on customary and private land; Forest Reserves and other protected forest areas; woodlots and plantation forestry and it also deals with crosscutting issues including law enforcement and fire management. The Act provides guidelines for utilising forest land and forest products in protected forest areas. Harvesting of all forest products in forest reserves can only be undertaken under licence issued by the DoF. Also "protected" tree species, including those on customary land, can be cut/utilised under a permit issued by the DoF. A preparatory process has currently commenced to revise the Forest Act - but currently the 1997 version is still stands. Note that the Forest Policy (1996) has been revised and currently a new version has been published and is being circulated by the DoF.

## 7.0 MONITORING AND EVALUATION ARRANGEMENTS

The project will utilise a participatory monitoring and evaluation process which will monitor the effectiveness of mitigation measures to improve (or at least maintain) PAPs' standards of living.

Monitoring will involve the local populations, so that they have first-hand understanding of the ecological process set in motion and have the ability and opportunity to express their views on the positive and negative impacts. Villagers around these National Parks and Forest Reserves will participate in the baseline studies to be undertaken during the first year of the project, including the baseline for monitoring of socio-economic impacts.

The SVTP will support affected communities so that they are able to monitor:

- The status of adverse social impacts (e.g., limited access to different types of natural resources inside the project-supported National Parks, Wildlife Reserves, and Forest Reserves; construction-phase impacts such as noise, debris, and waste disposal, etc.) and the effectiveness of mitigation measures outlined in the ESMF and PF. The SVTP will ensure that communities are aware of the potential adverse impacts to monitor; also, specific indicators will be developed with the communities to ensure effective monitoring of each impact;
- The implementation of agreed activities; and
- The effectiveness of the conflict resolution and grievance settlement mechanisms.

SVTP will institute three interrelated monitoring systems:

- i) Project administrative reporting,
- ii) GEF GWP METT,
- iii) Socio-economic monitoring to ensure that compensatory economic measures in fact replace income lost due to restrictions on natural resource use.

### 7.1 *Project Administrative Reporting*

Under this monitoring, the standard record of activities undertaken in each reporting period, along with cost information will be provided. This will cover staffing in each area and staff activities, equipment needs, and other administrative concerns (e.g., additional studies needed). For this PF, the annual project progress reports will include a section that details the number and type of local meetings held (e.g., on restrictions on parks and forest reserves, on compensatory measures for forest land and for grazing pastures lost), the number and types of grievances registered and their resolution, and the nature of compensatory measures implemented, as well as the findings of the socio-economic monitoring program (Item 7.3, below).

### 7.2 *Management Effective Tracking Tool (METT)*

A specific tracking tool has been developed for the GWP projects, to measure their performance and contributions; this tool will be used during project implementation. Management effectiveness baselines are already in place for the protected areas included in the lower Shire landscape (Table 3). These indicators will be tracked and measured (Figure 2) in parallel to the M&E results framework of the overall SVTP; these indicators cover in part the use of the GEF funds but are not focused on the GEF-funded components. Based on the METT assessment an indicator for management effectiveness of conservation areas supported with GEF funds has been included as a high-level indicator in the

SVTP.

Table 3. Baseline (2017) and target (2019, 2021) METT scores for the Lower Shire Protected Areas.

	Project Start-up (2017)	Midterm (2019)	Project Completion (2021)
<i>Elephant Marsh</i>	18	49	73
<i>New Lengwe</i>	13	48	68
<i>Majete WR</i>	88	91	94
<i>Matandwe FR</i>	36	59	70
<i>Mwabvi WR</i>	30	59	72
<b>TOTAL</b>	<b>185</b>	<b>306</b>	<b>377</b>

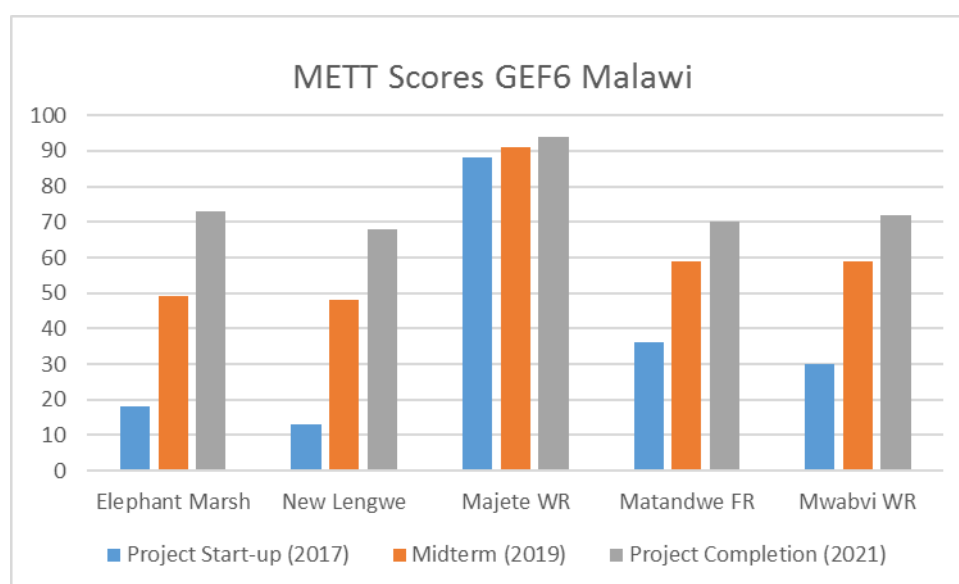


Figure 2. METT Scores from Project start, projected Mid-term, and projected End for the selected PAs.

### 7.3 Socio-economic monitoring

This will focus on the maintenance or restoration of income levels and standards of living when restrictions on natural resource use impinge on the local populations' production and therefore on family incomes or nutrition. For areas in the vicinity of project-supported National Parks and Forest Reserves, a baseline socio-economic assessment will be conducted early during the project. The data obtained will be used as the basis for determining the eligibility of villages and households for assistance under the Process Framework, as well as designing measures to assist the affected persons in their efforts to improve or restore their livelihoods. The baseline assessment will include detailed information on demographic characteristics and income sources. With this baseline, the SVTP Technical Team, or consultant contracted, will monitor the success of compensatory measures in maintaining or restoring families' incomes over time. The Project Implementation Plan will include the baseline survey, a midterm assessment at the end of Year 2, and an end of project assessment in the second half of Year 5. Such information is fundamentally important, for in those instances where economic compensatory measures fail to maintain incomes, project management will need to direct additional attention and resources in order to redress the situation.

Follow-up PRAs, conducted at the mid-term review and the close of Project, will update these data for the purpose of monitoring and evaluation of the implementation and impacts of the protected area management plans, community forest co-management agreements, and other site-specific Action Plans. The specific monitoring indicators will be outlined in the Action Plan. Possible indicators include: numbers of eligible villages and households; the potential livelihood impacts to these villages and households of new or more strictly enforced restrictions on use of resources in the protected areas; livelihood benefits of measures to assist the affected persons; numbers of villages and households participating in Community Conservation Funds (CCFs); and funds provided by CCFs to eligible villages and households.

In order to assess whether the goals of the plan are met, a monitoring plan will be required. This monitoring plan will indicate parameters to be monitored, institute monitoring milestones and provide resources including responsible persons or institutions, necessary to carry out the monitoring activities.

Independent monitoring of the compensation and resettlement activities can be done by NGOs, private consultants or the Lands Department. Carrying out such independent monitoring will enhance the openness and transparency of the compensation and resettlement programme. The SVTP would have to approve participation of NGOs in independent monitoring activities, depending on their requirements. The NGOs' participation would be funded by the NGOs themselves, using their own resources unless special funding and participation arrangements are approved by the SVTP.

## 8.0 BUDGET FOR PF IMPLEMENTATION

The proposed costs are just an estimate for project budgeting purposes. They will be revised and made available prior to project launching. Costs relate to consultations, communications and monitoring activities as identified in this PF and will be fully integrated within the overall GRM costing.

### Estimated Implementation Budget for the PF:

ACTIVITIES	COST SCHEDULE (Thousands USD)					
	Year 1	Year 2	Year 3	Year 4	Year 5	GT
<b>Component 2:</b> Preparing land-based investments and natural resources management support						
<i>2.2: Natural Resource Management</i>	15	15	10	10	10	60
<b>GRAND TOTAL</b>	15	15	10	10	10	60

## 9.0 CONCLUSIONS AND RECOMMENDATIONS

This Process Framework, which is a companion document to the Resettlement Policy Framework, has been prepared to ensure meaningful participation of PAPs, as a consequence of project-induced involuntary restriction of access to legally designated protected areas such as Lengwe National Parks, Majete and Mwabvi Wildlife Reserves, and Matandwe Forest Reserve, and gazettement of Elephant Marsh, which could adversely affect the livelihoods of the PAPs.

This PF is designed to guide the determination of PAPs affected by involuntary restriction to access legally designated protected areas and the Elephant Marsh. The PF will provide guidance in ensuring that PAPs benefit from the natural resources found in these protected areas and that adequate resources are provided for alternative livelihoods. The PF has identified the positive impacts from the proposed activities of the SVTP, some of which might lead to restriction of access to legally designated protected areas:

Successful implementation of the PF will depend to a large extent on the involvement and participation of stakeholders involved, host communities and local institutions. SVTP, DNPW, DoF, Department of Fisheries, and respective district councils must use the recommendations in this PF to ensure that PAPs are relocated and assisted with Sustainable Income Generating Activities to maintain or improve PAPs livelihoods. It is therefore recommended that these stakeholders should be involved in the implementation of the project and the PF. The stakeholders should be involved throughout the project (during project planning and throughout implementation). It is further recommended that the PF and RPF should be referred to, prior to any project activity of the SVTP.

Specifically, it is recommended that:

- Income levels and standards of living for the affected persons should be restored where possible through provision of Sustainable Income Generating Activities, which can also help build mutual trust with the affected communities;
- Grievance redress mechanisms, in line with this PF and the RPF, should be established prior to project implementation;
- The SVTP must support the VNRMCS and local communities and consult them in the monitoring of the project activities and implementation of the PF and RPF; and
- Adequate sensitization meetings should be conducted before implementation of project activities, to ensure that PAPs are accorded with opportunities to understand the implications of the project, their roles and responsibilities in implementing the project activities, the PF and the RPF.



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