

Process Framework

Marine Conservation and Climate Change Adaptation
Project (MCCAP)



PROCESS FRAMEWORK

Marine Conservation and Climate Adaptation Project
(MCCAP)

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GOVERNMENT OF BELIZE**

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1 INTRODUCTION

1.1 Marine Conservation and Climate Adaptation Project (MCCAP)

The Government of Belize through the Ministry of Forest, Fisheries and Sustainable Development (MFFSD) in collaboration with the World Bank and The Nature Conservancy (TNC) has submitted a full proposal to the Adaptation Fund (AF) for US\$6 million in March of 2013 for a project on coastal-marine conservation and climate change adaptation.

The objective of the proposed Marine Conservation and Climate Change Adaptation Project (MCCAP) is to implement a priority ecosystem-based marine conservation and climate adaptation measures to strengthen the climate resilience of the Belize Barrier Reef System and its productive marine resources. Specifically, the project will support the, (i) improvement of the reef's protection regime including an expansion and enforcement of the Marine Protected Areas (MPAs) and replenishment (no-take) zones in strategically selected locations to climate resilience, (ii) promotion of sustainable alternative livelihoods for affected users of the reef, and (iii) building local capacity and raising awareness regarding the overall health of the reef ecosystem and the climate resilience of coral reefs.

1.2 World Bank Operational Policy

Given that involuntary settlements and restriction of traditional access to resources in legally designated parks and protected areas can result in severe social and economic challenges for local communities, the World Bank has instituted Operational Policy (OP) 4.12 (Involuntary Resettlement) to provide safeguards where the state restricts access to resources “in legally designated parks and protected areas.” While conservation schemes may not always acquire land through eminent domain the declaration of nature reserves, the upgrading of protected area status, or the enforcement of earlier directives limits access to resources in the protected areas and directly affects livelihoods and incomes. These types of conservation projects fall within the purview of OP 4.12 because the new restrictions on resource use affect the livelihoods and well-being of the people who were using the newly restricted area. In these instances, the Bank has instituted a process framework to promote a participatory approach to conservation activities in legally designated parks and protected areas. Encouraging community participation in the design and enforcement of conservation activities under the process framework helps identify acceptable alternatives to unsustainable patterns of resource use and promotes community support for such alternatives. If sustainability requires that local residents stop or reduce their activities, these residents must be confident that they can find alternative sources of food or livelihoods.

1.3 Policy Application and Implementation

Specifically, OP 4.12 covers adverse impacts on livelihoods that result from Bank assisted investment projects and are caused by: (a) the involuntary taking of land resulting in (i) relocation or loss of shelter; (ii) [loss] of assets or access to assets; or (iii) loss of income sources or means of livelihood . . . ; or (b) the involuntary restriction of access to legally designated parks or

protected areas.” The MCCAP falls under section (b) as one of the main components of the project intends to improve the reef’s protection regime including an expansion and enforcement of the Marine Protected Areas (MPAs) including Replenishment (No-Take) Zones. It is anticipated that the implementation of project activities will likely result in involuntary restrictions to sections of Marine Protected Areas (MPAs) that are currently used by local communities. There will be no physical relocation of communities and settlements under the MCCAP.

It is not practical to presume that all livelihood impacts of proposed restrictions can be predefined. The nature of the restrictions and the specific interventions needed to restore people’s livelihoods also cannot necessarily be known fully in advance. As such a process framework is required by OP 4.12 with a view to establishing a participatory process to be used in formulating and implementing restrictions on resource use. The process framework describes the participatory process by which communities and the project’s authorities or other relevant agencies will jointly recommend resource-use restrictions and decide on measures to mitigate any significant adverse impacts of these restrictions. A restorative and mitigation plan of action, which describes specific measures to assist people adversely affected by the proposed restrictions, is part of the framework.

The Government of Belize through the MFSSD and the Fisheries Department will ensure implementation and compliance with the measures presented here in the Process Framework.

1.4 Arrangement of Sections

The remainder of the document is organized as follows: Section 2 provides a description of the project and relevant activities, Section 3 describes the community participation process, Section 4 describes the identification and eligibility of displaced persons, Section 5 discusses restoration and mitigation measures, Section 6 outlines the grievance redressal mechanism, Section 7 discusses the implementation arrangements for the process framework and Section 8 concludes with a monitoring and evaluation framework.

2 DESIGN AND ACTIVITIES OF THE MCCAP

2.1 Project Components and Activities

The MCCAP has been designed with three main components which will be implemented over a five year period. The components are as follows:

- **Component 1** - Improving the protection regime of marine and coastal ecosystems.
- **Component 2** - Support viable and sustainable alternative livelihoods for affected users of the reef.
- **Component 3** - Raising awareness, building local capacity, and dissemination of information regarding project on marine conservation and climate change.

Direct impacts on community livelihoods are expected to result from the implementation of activities under Component 1 given that restrictions will be imposed in order to expand, secure and enforce the marine protected areas and replenishment (no-take) zones in the target protected areas. This component is aimed at programmatically mainstreaming specific climate change adaptation measures in the on-going efforts for the conservation of marine and coastal ecosystems. The two main outcomes and activities of Component 1 of the project are as follows:

Outcome A - Marine protected areas (MPAs) and replenishment (no-take) zones expanded and secured in strategically selected locations to build climate resilience.

- 1) **Realignment and expansion of management areas and replenishment zones within selected MPAs** - Corozal Bay Wildlife Sanctuary (CBWS), Turneffe Atoll Marine Reserve (TAMR), and the South Water Caye Marine Reserve (SWCMR). Turneffe Atoll was legally declared a marine reserve (November 2012) during the preparation of the Project. By its designation, Belize's MPA system has been expanded to about 20% of Belize's territorial sea. The MCCAP will refine and demarcate the newly designated boundary. The Project will also support an expansion of the Corozal Bay Wildlife Sanctuary (CBWS) and realignment of replenishment (no-take) zones for TAMR, SWCMR and CBWS to obtain a national increase of fully protected replenishment zones from an existing 2% to 3.1% of Belize's territorial sea;
- 2) **Support for the management of the selected MPAs (CBWS, TAMR, and SWCMR) including replenishment zones** - This includes enhancing the enforcement and monitoring at the three MPAs, including within replenishment zones, biological and water quality monitoring as per MPA management plans, and carrying out formal management effectiveness assessments to track management success,
- 3) **Repopulation of Coral Reefs** - Pilot investments will be made into repopulating reefs within replenishment zones of targeted MPAs with temperature resilient coral varieties.

Outcome B - Coastal zones effectively managed.

- 1) **Strengthening the legal framework for the MPA network and the management of the coastal zone** - This includes, a) the roll out of overarching protected areas legislation, b) revisions to the Coastal Zone Management Authority Act, c) initial support to the protected areas administration structure, d) revision of mangrove regulations and e) implementation of an integrated coastal zone management plan.

The refinement and demarcation of the boundary of the TAMR, expansion of the CBWS, the realignment of the replenishment (no-take) zones and the concomitant monitoring and enforcement in all three targeted MPAs are likely to result restrictions to resources and this will likely impact the livelihoods and well-being of local communities even though the MPAs are already in place.

2.2 Current and Planned Zoning Management of Targeted MPAs

The targeted MPAs are already in existence and are a reality that users including fishers already deal with on a daily basis. The level of management effectiveness varies from one MPA to the other. For the TAMR, given that its establishment is fairly recent, the effects of the restrictions are not yet fully realized. Nonetheless all the MPAs have management plans that outline what is currently taking place or planned to take place. This section highlights the zonation schemes that are in place or are being contemplated for the specific areas under the project. These will be finalized and instituted during the implementation of the MCCAP. The information provided here is based on the management plans developed for the respective MPAs. These management plans were developed by the Fisheries Department for the SWCMR (2009) and TAMR (2012) and the SACD for the CBWS (2012).

2.2.1 Corozal Bay Wildlife Sanctuary

As a “Wildlife Sanctuary” under the Forest Department, legally, there is to be no extraction from the CBWS. The Wildlife Sanctuary designation is intended for the protection of nationally significant species, biotic communities or physical features, and allows for research, tourism and education but no extractive activities. Nonetheless, since its establishment in 1998 under the National Parks System Act of 1981, traditional and subsistence fishing has continued in the protected area. An estimated 33 to 35 fishermen are considered to be largely dependent on the small scale fishery of CBWS. The majority of these fishermen are from the coastal community of Sarteneja.

The CBWS encompasses approximately 178,000 acres (72,000 hectares) of the Belize portion of the estuary system, and much of the northern shelf lagoon behind Ambergris Caye. The SACD currently manages the CBWS on a de facto basis as it has no formal agreement with the Forest Department that allows it management rights and responsibilities. The Forest Department does not maintain a permanent physical presence at the protected area. The boundaries of CBWS are defined by Statutory Instrument 48 of 1998. The protected area does not include cayes within the Wildlife Sanctuary, which has implications on the ability to protect coastal and caye mangroves, important as bird nesting sites, storm barriers and as protective nurseries for many fish species.

The boundaries of CBWS are contiguous with those of Bacalar Chico Marine Reserve (BCMR) to the east, and the Sanctuario del Manati of Mexico to the north.

There are currently no formal zoning of management use of the Sanctuary though community use areas have been mapped. While fishermen are being engaged in catch monitoring and alternative livelihood initiatives, the full participation of the local communities in management, zoning and monitoring needs to be increased. There are currently no boundary demarcations for the CBWS so while community members are aware of its existence; it is not easy to discern exactly where it lies.

2.2.2 Turneffe Atoll Marine Reserve

The TAMR was declared as a Marine Reserve in 2012 under the Fisheries Act (revised 1983). Its management is guided by the same Act and the Fisheries Department's policies, which allows for zoned multiple use, conservation/no-take areas and areas open for extractive use, under a zoning system. The Fisheries Department is legally mandated to manage the Reserve but currently shares this responsibility with the Turneffe Atoll Sustainability Association, consisting mainly of Turneffe stakeholders.

The Fisheries Department is also responsible for management associated with the two protected spawning aggregation sites (Caye Bokel and Dog Flea Caye) located on the north east and south walls of the Atoll. Whilst these are created as non-extractive, they may be used for limited fishing by traditional users who are designated by Fisheries Department through the granting of special licenses at the recommendation of the co-managers (Statutory Instrument 161 of 2003). A third site at Maugre Caye regulates fishing of the Nassau Grouper spawning site. This is under Statutory Instrument 49 of 2009 which allows for permits to be issued for traditional fishing of Nassau grouper at Maugre Caye within a specified season. Also a Public Reserve was declared to protect Cockroach Beach as it was considered the most important American Saltwater Crocodile nesting site in the country.

The TAMR is one of the traditional fishing grounds, particularly for lobster fishermen, and used to be a major contributor to the marine export products of Belize, with 40% of product delivered to the cooperatives once originating from the Atoll. Approximately 25 fishermen camps are scattered throughout the atoll, many held as long term leases rather than owned property. Belizean fishermen have fished the area for many years, and are considered to have traditional rights to the fishing grounds, though this is regulated to some extent by the Fisheries Act, and will be further regulated now that the Atoll has been declared a marine protected area, with associated management zones.

The TAMR encompasses a total area of 131,690 hectares (325,412 acres/ 1,317 square kilometres). Of the three types of zone established at the TAMR, the General Use Zone is the largest, covering 84.7% of the Marine Reserve. The five Conservation Zones combined represent 11.7% of the area, and the Preservation Zone, with the strictest regulations, covers 0.9%. The zones are described as follows:

General Use Zone - The General Use Zone allows for the sustainable management of existing uses, with the focus being on commercial fishing and recreational activities. This zone lies outside

the more critical protection zones, and is relatively accessible to established fishers (both those based from fish camps and those using sailboats), who use the area for commercial fishing. The existence of high connectivity between reef, sea grass and mangrove, presence of the two spawning aggregation sites and a number of fishing banks and nearby replenishment areas make the General Use Zone a valuable and fertile fishing ground. Regulated extractive activities such as commercial, recreational and subsistence fishing are permitted within this area. However, fishers are required to have a valid license, and gear restrictions are in place (the use of gill nets, long lines and beach traps is prohibited). Snorkelling, diving and sport fishing regulations will be enforced throughout this and the other zones.

Conservation Zone - The Conservation Zone covers 11.7% of the Marine Reserve and incorporates five separate areas:

- **Zone I:** Maugre Caye Conservation Zone
- **Zone II A:** Dog Flea Conservation Zone
- **Zone IV:** Blackbird Caye Conservation Zone
- **Zone V:** Long Bogue Conservation Zone
- **Zone VI:** Caye Bokel Conservation Area

The five Conservation Zones have identical management regimes, and provide areas free from commercial fishing, undisturbed replenishment areas for recruitment of commercial and other species, and enhance the value of the area for recreational and tourism activities. No-take recreational activities, such as snorkelling SCUBA diving, and kayaking, are permitted within this zone. Sport fishing is also allowed within the Conservation Zone, guided by a Sport Fishing Regulations, but only with a valid license, and only as catch and release.

Preservation Zone - The Preservation Zone covers approximately 0.9% of the Marine Reserve and incorporates a number of the shallow lagoon / inundated mangrove areas critical for replenishment. The objective of the zone is to preserve an area within Turneffe in an entirely natural state and with recognized recruitment functionality as an important area for commercial (and non-commercial) species. Entry to the Preservation Zone is strictly prohibited for anyone, except in an emergency or with prior written permission from the Fisheries Administrator.

Special Management Zones - The Special Management Zones cover 2.7% of the Marine Reserve, and have been established to protect important conch nursery areas in the shallow waters of the back reef flats. Two Special Development areas have been designated:

- **Zone II B:** Cockroach – Grassy Caye Special Management Area
- **Zone III:** Vincent’s Lagoon Special Management Area

The Special Management Zones are similar to the General Use Zone except the harvesting of conch is not permitted.

2.2.3 South Water Caye Marine Reserve

The SWCMR encompasses a total area of 117,875 acres, though there is limited boundary demarcation in place. Boundary demarcation of the Conservation Zone is considered a priority. South Water Caye Marine Reserve is divided into three zones to allow for the management of resources for sustainability, and to provide the flexibility needed to accommodate many users. These zones are currently in place however their enforcement is limited at the moment. The zones are as follows:

- General Use Zone
- Conservation Zone
- Preservation Zone

General Use Zone - The General Use Zone covers 95,597 acres (38,687 hectares) – 81.1% of the protected area. Fishing is permitted in this Zone by licensed fishermen, though there are gear restrictions, including a ban on gillnets, long lines and spear fishing. There is also provision for residents of the Marine Reserve to fish for subsistence purposes, under a Special License. Sport fishing is permitted within this Zone, (excluding spear fishing), but is generally catch and release, unless fish are being caught for subsistence purposes during the tour.

Conservation Zone - The Conservation Zone covers approximately 22,143 acres (8,961 ha, or 18.7%) of the Marine Reserve. Within this zone, marine life is fully protected, with strict regulations stating that “no person shall harass or in any way tamper with any fauna...” Only non-extractive recreational activities are permitted within this zone, with no commercial, sport or subsistence fishing allowed. All boats are to be secured using officially designated mooring buoys, to prevent anchor damage to the seabed – except in emergency situations, or with prior written permission from the Reserve Manager.

Preservation Zone - The Preservation Zone covers approximately 190 acres (76.6 hectares) – 0.16% of the protected area, and has been established to protect the bird nesting colony of Man-O-War Caye – one of Belize’s original crown reserves. Activities are restricted here, with no fishing, sport fishing, diving or any other activity permitted within the Zone. Boats operating within this Zone require written permission from the Fisheries Administrator, though this zone is currently accessed regularly by local tour guides, and no mechanism is yet in place to enforce this requirement. This is likely to change with the implementation of the MCCAP.

3 COMMUNITY PARTICIPATION IN PROJECT IMPLEMENTATION

The overall objective of the MCCAP is to implement priority ecosystem-based marine conservation and climate adaptation measures to strengthen the climate resilience of the Belize Barrier Reef System. In order to achieve this it is necessary to improve the protection regime of the reef. Implementing MPAs as management tools are a critical component to establishing effective management regimes. The management regimes however are dependent in many ways on their social acceptability and the willingness of community members to comply with them. MPAs are really designed to change human behaviour and provide new incentive structures and as such are dependent on the human dimension (people's behaviour) to be successful. Active support by communities is therefore vital to achieving more sustainable patterns of resource use and minimizing and mitigate adverse effects that may result from project activities. To achieve this, engaging communities and facilitating their participation is therefore a necessary part of the process. The participation and consultation¹ of local fishing communities that will be affected by the MCCAP will be facilitated throughout the implementation of the project.

3.1 Approach to Community Engagement

Coastal communities have long standing use of the sea and marine resources and as such their relationship to those resources is both economic and social in nature. Families depend on marines resources as a source of income, employment and food. For indigenous communities, their culture and history are connected to the sea. It is therefore critically important to engage communities in all conservation and resource management activities under the project. MPAs have a biological focus that can only be successful by a conducive human dimension that allows for appropriate behaviour change to occur. When engaging communities the following will be adhered to:

- a) Fishers and fishing communities are regarded as equal partners and stakeholders in the management of marine resources. Their views will be considered and respected.
- b) It is important not to raise community expectations beyond that which the project is able to deliver. The project will ensure that key biodiversity interests are properly communicated to the communities.
- c) Fishers are recognized as a diverse group even if they may belong to the same organizations or communities. The pattern of fishing and way of life including gender roles may differ from place to place.
- d) Even though community members may not be able to fully participate in the scientific design process their traditional knowledge will be incorporated in the overall design.

¹ See accompany Culturally Appropriate Participation Plan for consultation protocol.

- e) It is recognized that engaging local communities is a time consuming process and that it requires persistence and consistency.

3.2 Building Community Awareness

Not all stakeholders and community members are accustomed to dealing with management, technical issues or planning processes and so will require some guidance to facilitate their participation. Similarly, not all communities may be fully aware of challenges facing marine resources including climate change. Awareness-raising through information sessions before starting formal consultation will be therefore be undertaken.

At this stage it is important to build consensus within and among communities regarding a realistic vision for managing marine resources and to reacquaint them with the nature and status of the existing MPAs. It is also at this stage where the details of the project components and activities should be shared with the community in order for them to become familiar with the various roles they will be expected to play. Awareness-raising activities will take the form of community meetings, informational presentations and dissemination of informational materials among others. Where there may be a level of distrust about the process or concerns about government interventions or the influence of local elites, efforts to engender sufficient trust and commitment will be undertaken through team building activities.

While the awareness building process will be initiated at the start of the project it will also be an ongoing process. As subprojects are developed to support alternative livelihoods within the communities, an Inter-community Learning Forum (ILF) will be established under the project. Inter-community dialogues and learning events among the participating fishing communities who face similar challenges to adapt to climate impacts will be supported as part of the project. The communities will learn from each other's experience in implementing alternative livelihoods and climate adaptation subprojects. Leadership development training sessions will also be provided to focus on inclusive climate resilience through collaboration among different communities and dialogue and mediation skills, mentoring of community leaders, as well as training in advocacy at the institutional level. The ILF will be convened by the PIU with support from the Fisheries Department. Community leaders will also play a key role in supporting the implementation activities of a Behaviour Change Communication Strategy to be carried out in year 2 and year 4 of the project. The development of the Strategy will similarly be led by the PIU.

3.3 Establishing MPAs Boundaries and Replenishment Zones

Several activities will be undertaken under the project to realign, refine and demarcate current MPA boundaries and refine zoning plans. The activities will follow an outlined process to engage local communities specifically in establishing MPA boundaries and replenishment zones as follows:

- a) **Preparation of revised zoning scheme maps for targeted MPAs based on ground-truth data** - Initially, Geographic Information Systems (GIS) and remote sensing tools will be used to spatially map and analyse the targeted MPAs boundaries' expansion and realignment. The

CBWS, in particular, will be re-mapped as recommended in the National Protected Areas Rationalization report to include part of the northern coastal lagoon system and saline savannah. The overall expansion or refinement process for the targeted MPAs will take into consideration the inclusion of such ecosystems as rapidly disappearing littoral forest and beach vegetation, some national cayes (particularly national cayes and inundated mangroves on TAMR) that have been found to exhibit crucial structural components that allow for quick recovery or resilience to climate disturbances (e.g., increased sea surface temperatures), and refugia-areas that experience less change than others. Once drafted, the newly proposed expansion or realignment maps for the targeted MPAs will be ground-truthed to gather field data to test the accuracy of the maps. The collection of the ground-truth data for the targeted MPAs will be used to interpret, analyse and calibrate the newly proposed zoning maps for the respective MPAs. Community members, especially fishers, will be recruited to assist with the ground-truthing processes. The maps developed will then be presented and used during consultations with communities and stakeholders to obtain their feedback and perspectives.

- b) **Consultations with communities and stakeholders to obtain feedback on the revised zoning** - The project will carry out meetings and focus group discussions with communities and stakeholders (in particular fishermen) to share the new zoning scheme for the targeted MPAs and to resolve existing and potential conflicts with respect to the proposed management schemes. The approach will be strategic, inclusive (e.g., stakeholder involvement in decision-making processes), creative, and flexible to allow for addressing traditional uses of the areas, existing threats (inside and outside MPAs), and climate change stresses. In the case of the CBWS which currently lacks a zoning scheme and has traditionally allowed fishing activities, consultations will be carried out to discuss a review of the CBWS classification to address zoning for extractive and non-extractive activities. The consultations on zoning schemes for all the targeted MPAs will include:

- i. *Information Sharing* – Specific materials and information relating to the zoning schemes will be provided to community members and stakeholders for their consideration and deliberation. These will be done in community meetings and workshops at a place and time that is convenient for the community. Community members will be provided with sufficient notice of meetings and workshops to be held. The information will be shared directly with communities but also with representative organizations which include fishers associations, and fishing cooperatives. Separate meetings will also be held at that level. Information to be shared will include proposed zoning schemes, biological considerations, ecosystem rationalizations, monitoring and role of community members in the management process.
- ii. *Facilitating Feedback and Input* – The process to share information and obtain feedback will be culturally appropriate ensuring that the information is in a language that the community members can understand. It will adhere to culturally appropriate protocols established for the project. The methods utilized during meetings and workshops will be participatory to ensure that regardless of their background, educational and otherwise, they will have the opportunity to have an input. Special

attention will also be paid to ensuring equitable gender participation and input. Separate consultation meetings, focus groups and workshops will be held with groups of women from fishing communities to discuss boundary definition and zoning schemes as necessary.

- iii. *Decision-making* – The project will make all attempts to ensure that important decisions are arrived at by consensus as is the common practice in local communities. If and when this is not possible, community members may vote either by show of hands or secret ballot to indicate their preferences. Decisions will be balanced between the perceived needs of community livelihoods and the need to properly manage the marine resources. Agreements on the degree of restrictions may only come after several meetings and discussions and there must be widespread engagement of stakeholders. Decisions will be made only after communities have obtained sufficient information, sufficient time to consider the information and that participation by a cross-section of the community is reasonably widespread.
 - iv. *Compiling and incorporating feedback* – The information collected through community and stakeholders consultations will be compiled and verified through literature review and independent investigations where possible, and utilized to aid finalization of the zoning maps. Communities and local organizations will be provided with maps of the final zoning schemes.
- c) **Incorporating finalized zoning maps within management plans for target MPAs** - The new maps reflecting the expansion or realignment for each of the targeted MPAs will be incorporated into existing management plans for the MPAs and the respective management plans will be adjusted as appropriate to reflect the new zoning schemes. The legislation (Statutory Instruments) for each of the target MPAs will also be revised to adequately reflect the new boundaries and schemes.

3.4 Implementation Sequence of Project Activities

Implementation of project activities that will effectively restrict the livelihood activities of the local fishers will be done in such a way as to be minimally disruptive and will allow fishers ample notice and lead time for them to make adjustments as necessary. Restrictive activities will be phased-in and properly sequence to minimize adverse effects these may have on local livelihoods. These will be specifically undertaken as follows:

- a) **Demarcation of target MPAs as per the new boundaries** – The three target MPAs will be geo-referenced and appropriately demarcated with buoys and signs to conspicuously depict the new boundaries only after there is agreement and concerns from stakeholders have been adequately addressed and the Statutory Instruments have been enacted. It is recognized that achieving adherence to the new zoning schemes will not happen unless stakeholders can understand the benefits of them and are made part of the process in delineating the expanded or realigned MPA boundaries. It is noted that not every person affected will agree with the zoning schemes or the enforcement of MPA regulations, nonetheless, the positive result of an

open consultation process provides sufficient basis on which to make a decision and implement the zoning schemes.

- b) **Phase in of Zoning Schemes** - The implementation of the zoning schemes will be phased in over the first year the first year of the project, with patrol activities relating to incursions being targeted at increasing awareness in the year leading up to the start of enforcement of zones in the second year. This is to allow community members and fishers especially, time to make adjustments to their fishing and livelihood activities within the targeted MPAs. It should be noted that not all targeted MPAs are utilized to the same degree by fishers. For instance, use of CBWS is low compared to TAMR. These nuances will be taken into consideration during the phasing in of the zoning schemes.
- c) **Sequencing of Project Components** – The alternative livelihoods component of the project will be initiated prior to the implementation of restrictions on access to resources within the existing MPAs. After the planned zoning schemes have been completed, the restoration and mitigation activities will begin implementation immediately. This means that the planning for the development of alternative livelihood activities will be initiated as soon as planning for the establishment of the zoning schemes gets underway. Once it is determined where the restrictions will be and who will be affected, the project should move ahead with developing and designing subproject aimed at addressing the livelihood needs of those that will be affected.

3.5 Representation of Affected Communities

While consultations will definitely take place to ensure community participation in developing management and zoning schemes for the MPAs, it is equally important to ensure that community members have continuous engagement with the project at the leadership level. Community members will be asked to become involved as members of advisory committees for each of the targeted MPAs. Where these already exist, they will be strengthened by ensuring that community members are equally represented and that those committees function according to their terms of references. This platform will provide a space for fishers especially to engage with other stakeholders to advise the planning process but also space for the implementation of other project activities and even longer term engagement in the conservation of the marine resources. Additionally, fishing communities will be represented in the project steering committee which will have oversight responsibility for the project.

To specifically foster the participation of fishers at national policy levels, institutional strengthening activities will also be supported by the project. These include the development of a medium-term strategic plan for inclusive climate resilience for a network of fishers at the national level which will be integrated into the strategic plans of the various community-based fisher associations. A committee comprised of leaders of the various fisher groups throughout the relevant fishing regions of country will serve as the planning team to implement this capacity building exercise.

4 IDENTIFICATION AND ELIGIBILITY OF DISPLACED PERSONS

4.1 Defining Displaced Persons

As per the World Bank’s OP 4.12, the term “displaced persons” is synonymous with “project-affected persons” and is not limited to those subjected to physical displacement. It must be noted however that project activities will not result in physical relocation of persons or communities. Displaced persons are therefore defined as those persons who are affected in any of the ways described in paragraph 3b of OP 4.12. The term connotes all those persons who lose “access to legally designated parks and protected areas resulting in adverse impacts on their livelihoods.” It is important to note there that not every fisher will automatically be eligible for livelihood support under the project as loss of access as a result of restrictions carried out under the project must be demonstrated.

4.1.1 Ineligible Persons

Allowance is made for the flexibility to exclude from displacement assistance anyone who is involved in clearly illegal, unsustainable, and destructive activities after the refinement of the MPA boundaries and zoning schemes have been fully consulted and properly enacted, if including these persons would undermine the objective of the project or the sustainability of the protected area. This is to be clearly communicated to community members and fishers during initial consultations.

4.2 Potentially Affected Persons as per MPAs

There are approximately 2,500 licensed fishers in Belize however, given the types of activities under the project and the three MPAs targeted, it is estimated that approximately 495 fishers will be affected by the project. The actual number of fishers who may be displaced due to the re-zoning of MPA boundaries and the expansion of RZs are expected to be smaller given the fact that all MPAs have already implemented management and enforcement regimes to varying degrees. This will be further determined during project implementation after consultations have been carried out in regards to re-zoning and RZ expansions within the targeted MPAs. The number of fishers using the CBWS is very low compared to the others even though it is near some of Belize’s largest fishing communities. This reality is due to the fact that fishers from those communities fish outside of the area in other fishing regions.

Table 1: Estimated Number of Project Affected Fishers

Target MPA	Estimated Number of Fishers Using MPA
1. Corozal Bay Wildlife Sanctuary	35
2. Turneffe Atoll Marine Reserve	200
3. South Water Caye Marine Reserve	260
4. Total	495

Source: SACD, Belize Fisheries Department and TASA

The following provides a brief description of potentially affected fishers at the three target MPAs.

4.2.1 Corozal Bay Wildlife Sanctuary

An estimated 33 to 35 fishermen are considered to be largely dependent on the small scale fishery of the CBWS according to the current management plan. The majority (more than 50%) of these are from Sarteneja. The origin and estimated number of fishermen as follows:

Table 2: Estimated number of fishers using CBWS

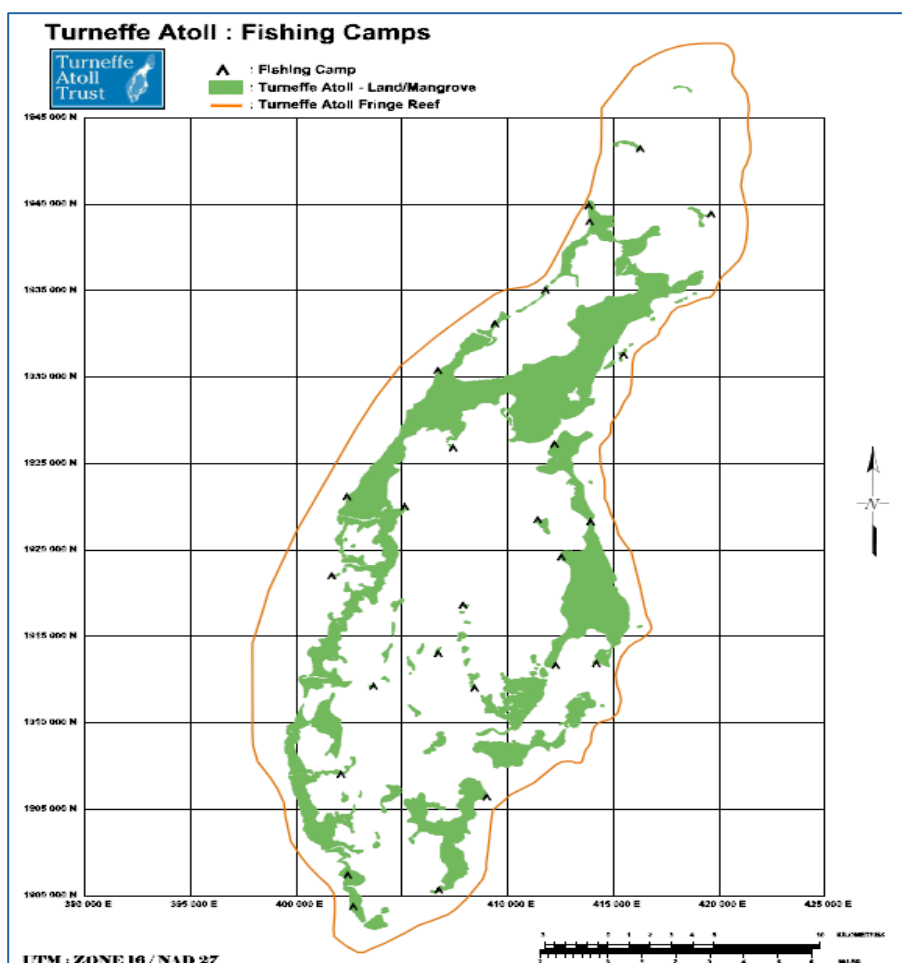
<i>Community</i>	<i>Estimated number of fishermen</i>	<i>Fishing Methods</i>	<i>Relative Dependency</i>
Sarteneja	15	Beach traps, gill nets, cast nets	High
Chunox	4 - 5	Gill nets, cast nets	High
Copper Bank	4 - 5	Gill nets, cast nets	Medium
Consejo	7	Gill nets, cast nets	Low
Corozal	3	Gill nets, cast nets	Low

Source: Wildtracks, 2012

4.2.2 Turneffe Atoll Marine Reserve

For the TAMR, the Management Plan indicates that approximately 200 fishers work in the area on a regular basis, based from 25 active fishing camps that focus entirely on the Atoll, and approximately 20 sailboats that regularly fish the Atoll. All are considered economically dependent on its resources. A small number of skiffs also visit the Atoll on short trips. Twenty (20) commercial fishing boats were reported as using the TAMR regularly in 2011, originating primarily from the northern communities of Copper Bank, Chunox and Sarteneja. The northern fishermen use larger traditional sailboats to reach the Atoll, and dug-out canoes, or dories for daily fishing (one per fisherman) once in the area. Each sailboat carries between 7 and 10 fishermen who free dive for lobster and conch on the outer reef around the Atoll, while catching fin fish opportunistically using hand lines and spear guns to supplement their catch and for subsistence during the trip. Fishing trips normally last between 6 to 10 days, with an average of 7.6 days per trip.

Figure 1 Location of Fishing Camps at TAMR



Source: TAMR Management Plan 2012-2017

4.2.3 South Water Caye Marine Reserve

Approximately 260 fishermen use the SWMR with the majority originating from Sarteneja, Dangriga and Hopkins according to the current management plan. The majority of the SWMR traditional fishermen fish for fin-fish and free dive for spiny lobster (*Panulirus argus*) and queen conch (*Strombus gigas*). Other fishermen from Seine Bight, Riversdale and Placencia also use it but to a lesser degree as these communities are now moving more and more into the tourism sector. The fishermen generally use hand lines for finfish and shades/traps for lobster (primarily the fishermen from Dangriga and Hopkins), and free-dive for lobster and conch (primarily fishermen of Sarteneja), and fishing throughout the shallow protected lagoon of the Belize Barrier Reef.

4.3 Establishing Impacts on Local Communities

While the project is expected to affect the livelihoods of local community members through restrictions to resources, specific impacts will not necessarily be fully known until the

implementation of project activities begin. In order to adequately determine those impacts, it will be necessary to collaborate with community members, fishers and their representative organizations to identify those who are being directly affected and determine the ways in which the effects are being experienced. This will be done by engaging communities through various means.

4.3.1 Community Consultations

The foremost space which will allow community members to engage with the project identifying and assessing the significance of adverse impacts will be through the consultations. These consultations will be carried out to develop, design and finalize the management and zoning schemes for each of the protected areas being targeted by the MCCAP. It is very important that communities and fishers especially, recognize the importance of participating in the process. They will be provided with opportunities to be a part of the deliberations regarding how the management and zoning schemes will be set up. Community consultations will be the most direct way for community members to participate and provide input into the conservation planning and management processes. During these consultations, communities can begin to identify those who are likely to be affected based on the zoning schemes being considered. There will be ongoing engagement with community members and fishers to discuss their experience with the new restrictions in order to specifically identify affected users.

4.3.2 Collaboration with Representative Organizations

The fishing cooperatives and fishermen associations will also be engaged in order for them to assist in identifying the impacts of the project on their members. This will allow those who do not participate in the consultations for one reason or another to still be able to articulate their interests or report any adverse experiences. Representative organizations will be expected to establish basic facts regarding the members claiming to be affected before passing on the information to the Project Implementation Unit (PIU). Not all members will be affected by the project activities and so it must be established that members making claims are indeed being directly affected.

4.3.3 Collaboration with Co-managers²

In the case of CBWS, the project will work in close collaboration with the Sarteneja Alliance for Conservation and Development (SACD) to identify and address the impacts of project activities on local communities. Fishers who are being directly affected will be encouraged to present their case to the SACD and joint meetings will be held to discuss the challenges being experienced. When assessing the impacts the focus primarily will be on individuals, households and social relations. For the TAMR and SWCMR, the Fisheries Department will also be to assist in a similar fashion. During initial consultations with local communities, the PIU will discuss the various ways

² Co-managers are entities that have signed co-management agreements with regulatory agencies for the management of a particular protected area.

in which those who are affected can engage with the project in order to avoid, minimize or mitigate the impacts being experienced as a consequence of the project.

4.4 Establishing Criteria for Eligibility

The PIU will work primarily with the co-managers of the MPAs, representative organizations of fishers and the Fisheries Department to facilitate the participation of established stakeholder fishing communities in determining the criteria for assistance eligibility. A working committee with representation from fishers through their respective association or cooperatives, MPA co-managers, Fisheries Department, and Project Staff will be established to develop the eligibility criteria for assistance. The criteria developed must be approved by the Project Steering Committee which also includes fishers' representatives. Those eligible for assistance must be directly affected by the project activities based on their use and access of the respective MPAs.

Long standing traditional use of particular areas within the MPAs will be considered when developing the criteria for eligibility. This can be verified by the MPA co-manager or the Fisheries Department. Both co-managers and Fisheries Department through their continuous oversight of MPAs are able to determine those fishers who are able to make claims of longstanding use of specific areas.

Once the eligibility criteria is developed, these will be used in the open call for proposals from those who are indeed affected by the project. A call for proposals will be done to ensure that the process is transparent and that those eligible to apply for assistance are fully aware of the requirements, opportunity and support being provided by the project. Assistance will be provided to local fishing communities under the project to ensure that proposals meet the technical requirements.

4.5 Considerations for Vulnerable Groups

The elderly in local fishing communities are likely to be particularly vulnerable as they are often more heavily dependent on fishing and have less diversified income sources. They are also less able to take up other livelihood activities as they are not likely to have the requisite skill sets. Similarly, there are poorer fishermen who depend on larger fishers for access to the sea on their boats. If these larger fishermen experience a decline in income as a consequence of the management regimes brought on the project they may demand more payment from the poorer fishers or not permit them on fishing expeditions all together. Also there are many fishers who fish mainly for subsistence purposes and limitations imposed on their access to fish for food may have severe consequences. Though limited, there are female fishers who may also be negatively affected. Besides active fishing, women from local communities are often involved in processing and selling fish locally and managing their household finances. Their dependence on fishing and fishing income makes the very vulnerable if they experience reduction in available marine products resulting from restrictions imposed by the management regimes.

In order to ensure that the effects on vulnerable groups are minimized if not avoided, the project will firstly ensure they have access to project related information including livelihoods assistance

and secondly, alternative livelihood activities carried out in communities will ensure the inclusion and participation of vulnerable groups. To ensure women participate in the project, livelihoods support will be directed towards the affected household rather than just the affected fisher. Women will be able to apply for alternative livelihood assistance that they lead and manage.

4.6 Other Users of Marine Resources

Of course fishers are not the only users of the MPAs and marine resources being targeted by the project. Other important stakeholders of the marine resources include tour guides, sports fishermen, tour operators, tourist resorts, research institutions and private individuals who live on cayes within the reserves. Recreation and tourism operators are one of the main stakeholders of the MPAs given the importance of the tourism to the economy of the country. They operate within all the MPAs being targeted under the project. Small tour guides are of particular concern given that they often operate independently and are dependent on the marine resource for their livelihoods. It is also important to note that many of these tour guides are fishermen who move over into tourism during the tourist season or during closed fishing seasons.

It is estimated that each visitor to the marine protected areas spends an average of US\$150 per day whilst in Belize. The predominant use of the CBWS appears to be mostly for sport fishing and this area has the least developed tourism activities compared to the other MPAs. Most of the tour guides who use the CBWS originate from Corozal Town, Sarteneja and San Pedro. Tour guides from Sarteneja, the main fishing community that uses the CBWS, are organized under the Sarteneja Tour Guides Association (STGA). Incidentally, the STGA is a member of the SACD, which is a key partner organization in the project. The TAMR on the other hand sees a significant amount of tourism use. The direct benefit from tourism expenditures in-country is estimated at US\$23.5 million according to the management plan. There are three all-inclusive resorts operating either seasonally or throughout the year within Turneffe. There are also two live-aboard dive boats visiting the area weekly each carrying about 20 divers. This is in addition to the approximately 2,000 divers and snorkelers who also come to the area over the course of the year. Additionally, several dive shops from San Pedro, Caye Caulker, Placencia, Hopkins and Belize City offer trips to Turneffe. Apart from tourism use, two educational facilities also operate out of Turneffe Atoll, offering structured courses and activities for local and international students and researchers.

Approximately 3,000 visitors visit the SWCMR per year bringing in substantial revenue for tourism operators. With the growth of tourism in the area, the number of visitors continues to rise. Approximately 11 overnight tourism facilities (resorts/lodges) can be found within the SWCMR mainly on Tobacco Caye, Coco Plum Caye and Thatch Caye. About 4 private sailing charter companies originating from Placencia and San Pedro also use the area. Private yachts and charters also utilize the area on a frequent basis, with a number of companies providing charter services, based primarily in Placencia and San Pedro. Visitation to the area fluctuates over the year, peaking in April, when traditional local tourism to the cayes is at its highest, and when international tourism season is at its peak. Tour guides who consistently use the area are members of the Dangriga Tour Guides Association (DTGA), Hopkins Tour Guides Association (HTGA) and the Placencia Tour Guides Association (PTGA).

The interests of these stakeholders will be taken into consideration and are currently represented on the advisory committees established for the respective MPAs. For the most part they have been engaged and consulted in the establishment of the existing MPAs. They will continue to be engaged and consulted under the project. They will also continue to be represented on the MPA advisory committees which will be enhanced under the project. In many instances, these interested parties are also represented on the boards of the environmental organizations who are co-managers of the MPAs. This affords them multiple opportunities at different levels to participate and engage with the implementation of project activities.

5 LIVELIHOODS RESTORATION AND FACILITATION

The overall aim of the restorative and mitigation measures is to compensate for and diversify the livelihoods of the affected users of the reef and MPAs. The Project will support the development of community-based business ventures that can leverage the opportunity cost of fishing and provide an alternative livelihood opportunity for affected fishers. The process of developing these ventures and alternative livelihood strategies will be participatory and will be underlined by equity and community driven decision-making. The business ventures will be developed through a guided process as each venture will have a business plan to support the development of products and services all the way through to distribution and service delivery. The process to achieve this will naturally be starting with mobilizing affected community members to ensure that they have the space and opportunity to consider the options available to them. Mitigation measures being taken to address the livelihoods of both indigenous and non-indigenous communities must be for the long term in order for them to have a restorative effect. This section describes the process for achieving this.

5.1 Community Mobilization and Business Development

Affected community members will be supported to mobilize themselves in order to identify viable livelihoods activities in a participatory manner. The approach will help to ensure that there is equity in the process and that all affected users including vulnerable groups, such as women, elderly and indigenous peoples, have the opportunity to become involved in and benefit from alternative livelihoods assistance being provided by the project. Taking this approach will acknowledge culturally appropriate decision-making patterns while supporting small fishing communities to develop their capacity to assess their own needs, and design community level actions and solutions in the future. This process will be facilitated by a community development expert engaged by the project. The project will assist community members to mobilize themselves through:

- a) **Community Needs Assessments** - Initial meetings will be held to create an awareness of the goals of the project in terms of climate change adaptation and to discuss the opportunities for the development of alternative livelihoods for affected users. This will be followed by needs assessment workshops to facilitate the direct engagement of community members, including women, in devising and developing ideas for potential alternative livelihoods activities. This process will assist community members to map out their own resources and assets, identify and diagnose constraints to local social and economic development from household to community level, and identify required management and technical skills. The main outputs of this process will be the: a) establishment of a common vision on how to pursue alternative livelihood strategies, b) active engagement of community members to ensure buy-in for the sub-projects, c) gender empowerment by ensuring a process that seeks the input of both men and women and d) the identification of potential business ventures and investment opportunities. These will then be prioritized based on viability and other collectively established criteria.

- b) Participatory Subproject Planning Workshops** - The second step in the participatory planning process will be the further development of the prioritized subproject ideas and potential opportunities and the completion and submission of the sub-project proposal to the PIU. This process will establish subproject goals and objectives, identify the main activities and inputs, identify the target beneficiaries and develop a preliminary budget. In-kind contribution will be required from sub-project beneficiaries to ensure commitment. The sub-project proposal will then be submitted to the Project Implementation Unit for consideration and approval through an established process.
- c) Development of Business Plans** – Business plans will be developed by community members with the support of a specialist once a technical evaluation of the subproject proposal submitted has been done by the PIU. Development of business plans involves providing technical assistance to subproject proponents in order to get their alternative livelihoods ventures off the ground. Included in this process will be identification of information on resources and raw materials to be used as inputs, organizational plan, operating plan, financial plan, and marketing plan. The business plan is essential in various aspects: a) to commercialize the production; b) to rationalize the management structure; c) to develop an efficient operation; d) establish roles and responsibilities for participating members; e) to understand the risks and have a plan to deal with them; f) to identify their niche and explore new markets; and g) to inform potential investors and attract additional investment into the production.
- d) Business and Marketing Support** - The project will emphasize on assistance in marketing for each approved business plan. A marketing expert will assist in the identification and development of the potential niche markets, development of marketing materials, advising on packing and product and service quality, and identification of potential business partners/distributors where possible. Alternative livelihoods activities will be undertaken at scale in order to ensure maximum returns and benefits for the communities and the environment. The marketing expert will also ensure that each business venture is registered with the Small Business Development Center (SBDC) at the Belize Trade and Investment Development Service (BELTRAIDE) in order to ensure continuous business support over the long term.

5.2 Skills Training to Facilitate Transition to Alternative Livelihoods

In addition to supporting the development of business ventures, the project will provide individual training necessary to build the skills of members of affected households including fishers, their spouses and dependents. This is to assist community members to transition to alternative livelihoods, based on training needs identified during the community mobilization phase. This will be done by focusing on skill sets that supports small business development and individual marketable skills. The types of training to be provided include:

- a) Training in business development** - A training program will be established for beneficiaries under the project. This is to ensure that such participants develop the skills necessary to sustain and maintain the development of business ventures and transition to alternative livelihoods.

This includes training in financial literacy, business management, production, marketing, quality control and financial management. Beneficiaries whose subprojects are already under implementation or have an approved sub-project are eligible to participate in the training activities. These training activities will be coordinated by the PIU.

- b) **Training in marketable skills** - Training support for the attainment of marketable and employable skills for individuals will also be done in order to support those who wish to transition to full time employment in other sectors or self-employment. Training in marketable individual skills sets will be mainly in the areas of: a) mari-culture; b) eco-tourism, d) agriculture and c) vocational education. These four areas were selected to complement the current social, human and physical assets of the local communities. Many are already engaged in livelihood strategies in these areas as they attempt to diversify their own livelihoods and as such the project will be building on existing knowledge and experience and will not necessarily have to recreate existing social capital. A diagnostic study of fishing communities in CARICOM concluded that in Belize almost of half of the income of fishing families are derived from activities other than fishing³. Additionally, the areas selected are tied to the largest and fastest growing sector of the Belizean economy namely tourism. The training under this section is aimed at supporting: a) independently-operated profitable enterprises, and b) employment or self-employment for individuals. For training in mari-culture, the project will collaborate directly with the Fisheries Department. Some of the training under eco-tourism in areas such as tour guiding, will be carried out in collaboration with the Belize Tourism Board's Training Unit. Local vocational training centres such as the Institute for Technical and Vocational Education (ITVET) will be asked to assist in providing training for vocational activities and also assist in job placements for trainees as they are capable of providing customized training programs.

5.3 Sub-grants Mechanism for Community-based Business Ventures

Sustainable community-based business ventures designed under the project will be supported by a sub-grants mechanism. This mechanism will provide financial resources as initial capital investment to support the start-up of the identified business ventures. The operation of the sub-grants mechanism will be according to an established process. Given the fact that livelihoods and displacement support is a restorative and mitigating measure, the grants will not be competitive but rather targeted to those adversely affected by the management regimes put in place for the MPAs. In the event there are left-over funds, then such funds will be used to support non-affected fishing families but the same process must be followed. The following outlines the structure of the mechanism and how it is expected to operate:

³Diagnostic Study to Determine Poverty Levels in CARICOM Fishing Communities, Caribbean Regional Fisheries Mechanism (CRFM), 2012.

5.3.1 Types of Grants

Two types of grants will be provided under the project. The first type is small grants up to US\$25,000, and the second, regular grants, will range from over US\$25,000 to US\$50,000. Because the grants are focused on developing alternative livelihoods they will be considered initial investments to support business ventures. Grants up to US\$25,000 will be required to be completed within a 12-month period. Regular grants will be required to be completed within an 18 month period. Follow up phases of sub-project are allowed but require technical appraisal and approval of the PSC.

5.3.2 Eligible Applicants

Affected users (including their households) of the reef and the targeted MPAs, through their representative organizations such as fishing associations or cooperatives, will be eligible to submit subproject proposals for funding. Consequently, the provision of funding will not be competitive but based on the eligibility of the beneficiaries. Non-governmental organizations (NGOs) and community-based organizations (CBOs) currently co-managing the selected MPAs are also eligible to apply on behalf of affected users. These NGOs and CBOs are expected to be involved in assisting the communities in the targeted areas to plan and carry out alternative livelihoods and diversification activities. This type of engagement will provide an efficient, multi-sectoral delivery mechanism for community-based interventions in the conservation of the reef. The legal status of the project proponents will also help to ensure accountability and transparency in the management of the sub-grants.

5.3.3 Sub-projects Approval Process

Even though the process of selection of sub-projects is non-competitive, the process of approval is still expected to be rigorous as follows:

- a) Submission of Concept Paper – A completed concept paper will be submitted by project proponents on alternative livelihoods for affected users of the reef and targeted MPAs. Project staff in partnership with local organizations will assist fisher groups to complete project concept form.
- b) Screening – The concept paper will be screened by the PIU based on the eligibility criteria established.
- c) Community Mobilization and Planning - Once the project concept is cleared and considered eligible, participatory consultations and planning will be held and will be overseen by project technical staff.
- d) Technical Evaluation – Once full proposal has been received, a technical review committee which includes business experts will review the application and recommend the development of business plans, required for all regular grants of US\$50,000. Business plans for small grants will be at the discretion of the technical review committee.

- e) Development of Business Plan – A business plan will be developed for regular sub-projects and will act as a sort of feasibility study aside from being an investment plan. Development of a business plan does not guarantee approval by the Project Steering Committee.
- f) Approval – The completed application and business plan will then be forwarded to the Project Steering Committee for approval. The PSC may approve, reject or request for more information from sub-project proponents. The decision of the PSC is final.
- g) Notification of Decision – Applicants will be officially notified by the PIU on the decision of the PSC. Successful applicants will then be advanced to the implementation stage.
- h) Implementation – The sub-project will be implemented directly by proponents under the direction of the PIU. A built-in feature of the project is marketing support from the PIU. This may be from technical project staff or from external consultants hired to provide specialised marketing support. Procurement of goods and services will be according to established guidelines.
- i) Monitoring and Reporting – PIU staff will conduct field visits to sub-project sites and proponents will be required to submit periodic reports and a final report on their project.

The sub-grants mechanism will be managed by the PIU. Sub-project proposals will be submitted to the PIU and the Project Steering Committee (PSC), made up of marine conservation and social development stakeholders from various sectors will approve all subprojects. All recipients of sub-grants must be legally established entities.

5.3.4 Eligible Activities

All projects regardless of type must adhere to the eligibility criteria, which include:

1. Target beneficiaries are affected users of the reef and selected MPAs under Component 1 of the project.
2. Applicant/proponent is a representative organization and is a legal entity (Fishing association, cooperative, MPA Co-Manager).
3. Proposed activities fall under one of the following:
 - a. Fisheries diversification initiatives that capitalize on eco-friendly fishing activities such as sport fishing;
 - b. Value-adding to final fishery products through processing, introduction of standards, eco-labelling, utilizing fish parts that are currently discarded as waste;
 - c. Poly-culture of marine products; and
 - d. Community-based sustainable aquaculture, agriculture and tourism-related activities. (Sub-projects with activities having to do with fishery must demonstrate environmental sustainability, social responsibility and economic viability.)
4. Preliminary community consultation has been held.

5. Concept Paper submitted is complete.

As noted above, the scope of eligible activities recognizes that many fishermen do not wish to simply give up their livelihoods and way of life that connected to fishing. Similarly, they are likely to face greater challenges if the alternative taken up is completely different and unrelated to existing individual and community assets and resources. Also, given the importance of the economic viability of alternative livelihoods, it is strategic for them to be connected to the stronger sectors of the local economy.

5.4 Employment in Project Activities

5.4.1 Employment Opportunities

There will be employment opportunities during the implementation of the project that will be used to absorb some of the displaced fishermen especially where their maritime skills meet the job requirements. One of those project activities is the repopulation of coral reefs. Interested and skilled fishers will be hired as nursery workers and research assistants to develop the farms as well as replant corals in selected areas. The other opportunity is to hire fishers as rangers in the redefined MPAs. They are already familiar with the regions and have necessary maritime and boating skills. They can be trained to become familiar with regulations enforcement.

5.4.2 Notice of Vacancies

The PIU will ensure that fishers have the opportunity to apply for open positions for which they qualify within the project. To ensure that fishers are aware of such opportunities notice for open positions will be sent to the relevant fishing associations, cooperative, or federations for them to disseminate to their membership. The same notice will also be sent out to other partners and stakeholders in the fishing sector and will be distributed as widely as possible.

5.4.3 Hiring Process

Applications from fishers and community members from project affected communities will automatically be considered. This however does not mean they will automatically be hired. The actual hiring will be according to specific procurement guidelines established for the project. The guidance here is simply to ensure that fishers and local community members are given due consideration.

5.5 Gender and other Social Factors

5.5.1 Gender-sensitive Participation

Specific emphasis will be placed on gender equity, the participation of indigenous peoples and civil-society organizations in the design and implementation of the alternative livelihood activities. During the preparation of the MCCAP, local communities were consulted to determine specific activities and target communities to be supported. Women were found to play an integral role in harvesting marine resources both through their direct productive involvement and social

reproductive roles. Women are involved in extraction as well as in the marketing of fish products. They are also involved in a supporting role where they prepare materials and supplies for fishing expeditions and manage the household's fishing income. Consequently, the project will ensure that women have an opportunity to participate and express their own aspirations during the identification and development of subprojects for funding. Gender related issues that affect the well-being of fishing families or inhibit the participation of women will be looked at. This is to ensure that they not only have effective participation but also gain meaningful benefits. Further recognizing the role of women, the project will encourage the spouses of fishermen to develop sub-projects and submit them for financing. Women will also be given the opportunity to participate in all training activities carried out under the project. Beyond being gender sensitive, the project will ensure that women have a role in decision-making in order to benefit directly from project resources and strengthen their structural position in a culturally sensitive manner.

5.5.2 Indigenous Peoples

Affected indigenous Garifuna communities will also be fully engaged to promote their participation in managing marine resources and in the development of alternative livelihoods that are culturally appropriate. Sub-projects that promote or preserve Garifuna culture will be considered for funding where the economic viability of the actions can be established. Some of the suggestions from indigenous communities include strengthening eco-cultural tourism including aspects of Garifuna music, traditional dress, cultural foods or the creation of cultural entertainment groups that support the economic diversification in local communities. These opportunities provide win-win situations for indigenous communities where their culture is highlighted and maintained while enhancing their household income. Lastly, the Fisheries Department will take into account formal agreements entered into between the representative organizations of the Garifuna and the Government of Belize.

5.5.3 Civil Society Organizations

The role and engagement of civil society organizations including fishers associations and conservation NGOs will be a key feature of this project both in the promotion of marine conservation as well as in the development of alternative livelihoods strategies for local communities. Local conservation organizations, cooperatives and fishing associations have continuously engaged the targeted communities therefore the project will build on those existing relationships and will avoid creating any new organizational structures within the communities unless absolutely necessary.

6 GRIEVANCE REDRESSAL MECHANISM

6.1 Purpose

A Grievance Redressal Mechanism (GRM) is required by the World Bank's OP 4.12 in order to identify procedures to effectively address grievances arising from project implementation. Persons affected by the project must have an avenue where they can formally lodge their complaints and grievances and have them properly considered and addressed. A GRM can help project management significantly enhance operational efficiency in a variety of ways, including generating public awareness about the project and its objectives; deterring fraud and corruption; mitigating risk; providing project staff with practical suggestions/feedback that allows them to be more accountable, transparent, and responsive to beneficiaries; assessing the effectiveness of internal organizational processes; and increasing stakeholder involvement in the project.

It is very important that the project's management and staff recognize and value the grievance process as a means of strengthening public administration, improving public relations, and enhancing accountability and transparency. Consequently, grievance redress will be integrated into the project's core activities. This will be done by integrating grievance redress functions into project staffs' job descriptions and regularly review grievances data and trends at project management meetings.

6.2 Principles of GRM

The MCCAP GRM will adopt the following six core principles to enhance its effectiveness:

- a. ***Fairness:*** Grievances will be treated confidentially, assessed impartially, and handled transparently.
- b. ***Objectiveness and independence:*** The GRM will operate independently of all interested parties in order to guarantee fair, objective, and impartial treatment to each case. Officers working under the GRM will have adequate means and powers to investigate grievances (e.g., interview witnesses, access records).
- c. ***Simplicity and accessibility:*** Procedures to file grievances and seek action will be made simple enough that project beneficiaries can easily understand them. Project beneficiaries will have a range of contact options including, at a minimum, a telephone number, an e-mail address, and a postal address. The design of the GRM will be such that it is accessible to all stakeholders, irrespective of where they live, the language they speak. The GRM will not have complex processes that create confusion or anxiety (such as only accepting grievances on official-looking standard forms or through grievance boxes in government offices).
- d. ***Responsiveness and efficiency:*** The GRM will be designed to be responsive to the needs of all complainants. Accordingly, all officers handling grievances will be trained to take effective action upon, and respond quickly to, grievances and suggestions.
- e. ***Speed and proportionality:*** All grievances, simple or complex, will be addressed and resolved as quickly as possible. The action taken on the grievance or suggestion is expected to be swift, decisive, and constructive.

- f. ***Participatory and socially inclusive:*** All project-affected persons – fishers, community members, members of vulnerable groups, project implementers, civil society, and the media - are encouraged to bring grievances and comments to the attention of project authorities. Special attention is given to ensure that poor and marginalized groups, including those with special needs, are able to access the GRM.

6.3 Definition and Types of Grievance

For the purpose of the project's GRM, grievance is defined as an issue, concern, problem, claim (perceived or actual) or complaint that an individual or group wants the project to address and resolve. It is understood that when community members present a grievance, they generally expect to receive one or more of the following:

- a) Acknowledgment of their problem
- b) An honest response to questions about project activities
- c) An apology
- d) Compensation
- e) Modification of the conduct that caused the grievance
- f) Some other fair remedy.

The GRM will be designed to respond to four types of complaints that are likely to arise:

- a) Comments, suggestions, or queries;
- b) Complaints relating to non-performance of project obligations;
- c) Complaints referring to violations of law and/or corruption; and
- d) Complaints against project staff or community members involved in project management.

6.4 Grievance Redressal Framework

The GRM is being established at the field level for the MMCAP where matters can be addressed immediately within the scope of the projects authority and activities. Given that the PIU will be under the MFSSD, it is expected that relevant units within the Ministry will provide support to the PIU in the implementation of the GRM. The other level of the GRM is at the national level. This includes the judicial levels where the process is more formalized and complex and includes formal litigation. Also at the national level is the Office of the Ombudsman who is able to take up issues directly related to the project.

6.4.1 Field Level

At the field level, the Project Coordinator (PC) will be appointed to officially respond to grievances raised by individuals and groups of community members. A GRM Committee made up of PSC members and PIU staff will be established to coordinate support for the PIU and assist in addressing grievances put forward to the project. The Fisheries Department will consider appointing non-affiliated persons on the GRM committee to strengthen the objectivity of the mechanism.

Established representative organization (fishing cooperatives, fishing associations, village councils and the National Garifuna Council) may join the complaint of any community member to assist in presenting the matter to the GRM. The PC may also seek to engage these representative organizations in addressing grievances raised. Grievances can be presented orally or in writing in person or by using information and communication technology (telephone or email). Where presented orally, the PC must ensure that the grievance is documented in writing. This is further elaborated below in the procedures section below.

6.4.2 National Level

Project affected persons may seek to have their grievances addressed directly by the legal and judicial system in Belize. They may choose to go there directly if they feel that their legally guaranteed rights have been violated or if they are not satisfied with the response and resolution provided by the project GRM. In this instance, it is the community members' responsibility to take up the matter in a court of law and seek his or her own legal representation. The project will abide by the ruling of any Belizean court in regards to the matter presented and adjudicated. Grievances can be heard in lower magistrate's court or in constitutional cases; they are heard in the Supreme Court of Belize. This process is open to any community member who feels that they need to pursue this avenue.

In addition to the judicial system, the Office of the Ombudsman is also an avenue that is open for project affected persons to seek redress for grievances. The Office of the Ombudsman is established under the Ombudsman Act, Chapter 5 of the Laws of Belize. The Ombudsman is empowered to investigate complaints made by any person or body of persons who claim to have sustained injustice, injury, or abuse (including any act of discourtesy, or refusal to act, or any act motivated by discrimination based on religion, language, race, colour or creed), or who claims that an authority has been guilty of corruption or other wrongdoing. Authorities who are subject to investigation are:

- A Ministry, Department or agency of Government;
- The Belize Police Force
- A City Council or a Town Board
- Other statutory body or authority, including any company in which the Government or an agency of government owns not less than 51%.

Approaching the Ombudsman's office to register a complaint is a simple process that can initially be done orally and thereafter in writing. There is no charge for registering a complaint.

6.5 Procedures for Field Level GRM

- a) **Registration** - Community members can inform the PIU about concerns directly and if necessary, through third parties. Once a complaint has been received, it will be recorded in a complaints log or data system. The log will be kept in hardcopy or electronic form. All reported grievances will be categorized, assigned priority, and routed as appropriate.

- b) **Sorting and Processing** - This step determines whether a complaint is eligible for the grievance mechanism and its seriousness and complexity. The complaint will be screened however this will not involve judging the substantive merit of the complaint. The following guide will be used to determine whether or not a complaint is eligible or not:

Eligible complaints may include those where:

- The complaint pertains to the project.
- The issues raised in the complaint fall within the scope of issues the grievance mechanism is authorized to address.
- The complainant has standing to file.

Ineligible complaints may include those where:

- The complaint is clearly not project-related.
- The nature of the issue is outside the mandate of the grievance mechanism.
- The complainant has no standing to file.
- Other project or organizational procedures are more appropriate to address the issue.

If the complaint is rejected at this stage, the complainant will be informed of the decision and the reasons for the rejection. The complainant will be given the benefit of the doubt and engaged in a conversation before a decision to reject the complaint is made as complainants often provide incomplete information. The PIU will make an effort to truly understand the grievance before responding. All complaints whether eligible or not, will be logged for reference.

When evaluating and investigating complaints the parties, issues, views, and options will be clarified:

- The parties involved will be fully identified;
- The issues and concerns raised by the complaint will be clarified;
- The views of other stakeholders, including those of project staff will be gathered;
- The complaint in terms of its seriousness (high, medium, or low) will be classified. Seriousness includes the potential to impact both the project and the community. Issues that will be considered include the gravity of the allegation, the potential impact on an individual's or a group's welfare and safety, or the public profile of the issue. A complaint's seriousness is linked to who in the project's management needs to know about it and whether the Project Steering Committee is advised immediately.

- c) **Acknowledgment and Follow Up** - When a complaint is registered, the PIU through appropriate staff will acknowledge its receipt in a correspondence that outlines the grievance process; provides contact details and, if possible, the name of the contact person who is responsible for handling the grievance. The PIU will respond acknowledging the issue within 7 working days. In responding to the complaint the PC may seek and hold a meeting with the aggrieved party(ies). Complainants will then receive periodic updates on the status of their grievances.

- d) **Evaluating, Investigating and Taking Action** - This step involves gathering information about the grievance to determine its validity, and resolving the grievance. The merit of grievances will be judged objectively against clearly defined standards such as the Environmental and Social Safeguards, legal requirements and the Project Operations Manual. For grievances that are straightforward (such as queries and suggestions) these will be resolved quickly by contacting the complainant and providing an appropriate response. Grievances that cannot be resolved at the project level will be referred to the most competent authority.

In general, four basic approaches will be considered when evaluating what array of resolution approaches to offer. These include:

- The GRM Committee proposes a solution.
- The GRM Committee and the community decide together how best to address the issue.
- The GRM Committee and community defer to a third party to decide.
- The GRM Committee and community utilize traditional or customary practices where appropriate.

6.6 Implementing the GRM

The following measures will be taken to ensure that the GRM is effectively implemented.

- a) **Build Awareness of GRM** – The GRM will be presented by project staff to community members during the project inception workshop and during community consultations when planning MPA zoning restrictions. Other ways to engaged community members in implementing the GRM include the following:
- Simple, visually engaging marketing materials will be developed. These will describe the process for handling people’s concerns and the benefits that can result. The materials will also inform the local communities about where to go and who to contact if they have a complaint.
 - Formal and informal meetings in local communities will be used as the main method for building awareness about the GRM.
 - Communities will be consulted about any risks or fears they have associated with using the system. Information about what else they might need to voice a complaint and participate effectively in the mechanism will be elicited and used to update the GRM.
- b) **Train Staff on GRM** – Project staff will be educated about the GRM and its procedures. This is to ensure that staff members are able to accept complaints, or to participate in on-the-spot resolution of minor problems. The following will be considered when developing training sessions for project staff:
- Sessions will focus on why the grievance mechanism is in place, its goals, benefits, and how it operates.
 - Roles and expectations of project staff (what to do if a member of the community approaches them with a grievance, how best to respond to aggrieved stakeholders and

- the importance of listening, remaining objective, and taking stakeholder concerns seriously).
- The constructive role of community dissent in project operations, by encouraging the view that complaints and opposition are a source of valuable information that can lead to improved operations, reduce risk, and develop a supportive relationship with the community.
 - Emphasize that there will be absolutely no reprisals and the participation of community members in the GRM does not diminish their rights or entitlements to benefits from the project in any way. This same information will be shared with local communities.

7 IMPLEMENTATION ARRANGEMENTS

7.1 Process Framework Implementation Responsibilities

The Project Coordinator (PC) and the Senior Project Officer (SPO) of the PIU will ensure the process framework measures are implemented and complied with. The PC oversees the implementation of MCCAP and is responsible for the development and implementation of the project work plan and budget and also in managing project resources and support staff. He/she implements the policies, regulations, and procedures approved by the PSC for the project. He/she also liaises with the PACT Executive Director for financial and fiduciary management matters, and with the Fisheries Administrator (MFFSD) for technical matters, as well as with other MCCAP implementation partners. The PC reports to and provides regular reports to the PSC on all aspects of project activities. The SPO is responsible for providing technical guidance to approved sub-projects and grants under the livelihoods support component of the project. This will include overseeing and providing technical guidance to the grants application and approval process for alternative livelihood projects, with the assistance of the Protected Areas Conservation Trust (PACT) Grants Program Staff, which comprises the following personnel: Grants Director, Senior Grants Officer, two Grants Officers, and a Grants Program Clerk.

The PIU is furthermore responsible for the monitoring and evaluation of the process framework. The PIU will report to the Project Steering Committee on activities being carried out under the framework along with other aspects of project implementation. The PSC provides general oversight to the overall implementation of all components of the MCCAP. Where required, the PIU will engage technical consultants to carry out project activities related to the establishment of zoning schemes for the targeted MPAs. Consultants will also be engaged to assist communities to mobilize and engage in participatory planning. In all such instances the PIU will provide guidance and oversight to the work of third party consultants as it relates to the process framework. The PIU will also work in close collaboration with the Fisheries Department for the technical aspects of the project and PACT on the alternative livelihoods support to be provided to communities. This is further described below.

7.2 Technical Coordination

The Fisheries Department is legally mandated to oversee all work and activities related to MPAs and fishing regulations. As such, the Fisheries Department will provide technical coordination of all activities regarding the expansion and demarcation of MPAs, enforcement of fishing regulations and establishment of replenishment zones. The Fisheries Department along with project staff will engage with co-managers, fishing communities and stakeholders in the consultation process. The PIU will provide all material support necessary for the participation of stakeholder communities and will ensure that the process framework is followed and that social and environmental safeguards are complied with. This includes ensuring that there is full and proper consultation of communities regarding the zoning schemes, and the impacts of zoning restrictions on livelihoods.

7.3 Grants Coordination for Alternative Livelihoods

The PIU will collaborate with PACT on the implementation of the sub-grants mechanism to support alternative livelihoods for project-affected community members. There are two reasons for this. One, PACTs has its own grant scheme that is manages and therefore brings with it relevant experience and expertise using transparent and accountable procedures. Second, PACT has overall fiduciary responsibility for the project as the National Implementing Entity (NIE) and as such it will oversee the disbursement and accounting of project resources including the assistance provided to displaced community members. Project staff will be responsible for overseeing the processes involved in assisting communities plan, develop and implement subprojects.

7.4 Key Implementation Partners

Key implementation partners for the process framework include: a) Turneffe Atoll Sustainability Association; b) Sarteneja Alliance for Conservation and Development; c) Belize Fishermen's Federation; d) Belize Fishermen's Cooperative Association; e) Southern Environmental Association; f) Dangriga Fishermen's Association. Their role is based on the current relationship they have with the MPAs and communities affected by the implementation of the project. All these partners are able to assist with project information dissemination, mobilizing communities for consultation, identification of affected persons, development of eligibility criteria, determining impacts of zoning schemes and planning and implementing alternative livelihood measures for affected community members.

8 MONITORING AND EVALUATION OF PROCESS FRAMEWORK

8.1 Purpose and Scope of Process M&E

The purpose of the process framework M&E system is to monitor the extent and the significance of adverse impacts and the effectiveness of measures designed to assist displaced person to improve or restore incomes and livelihoods. It is expected that stakeholders especially fishers who are restricted from entering specific areas for fishing due the establishment and enforcement of replenishment (no-take) zones will actively participate in the M&E process. Those who benefit from livelihoods restoration and mitigation assistance will also be expected to monitor and evaluate the effectiveness of the alternative livelihood measures being undertaken by the project.

8.2 Approach and Data Sources

Stakeholders will be involved in monitoring and evaluating project measures at different stages and at different times. Their participation in discussing restrictions and zoning schemes will be from the outset of the project. They will assist with developing equitable criteria for obtaining development assistance and will also assist in determining and validating the effects of the zoning schemes being put in place. Stakeholder participation will follow both the project and subproject cycle starting from planning to implementation and evaluation. Sources of routine and non-routine data to ensure proper monitoring and evaluation include the following:

8.2.1 Routine Sources

- **Staff Field Reports** – Staff will be required to document and report their activities engaging with community members for every session or event. Reports will capture date and time of events, attendance, summary of proceedings, agreements made and observations.
- **Consultant Reports** – Consultants hired to work on project activities will be required to submit consultancy reports on their activities and engagement with community members. Data specific to participation in discussions of zoning restrictions and participatory planning for alternative livelihoods must be part of the reports.
- **Sub-project Evaluation** – Each alternative livelihood subproject will have an end-of-project evaluation that is carried out using participatory methodologies. The evaluation will address the relevance, effectiveness and efficiency of the livelihood assistance being provided by the project from the beneficiaries' perspective.

8.2.2 Non-routine

- **Project Mid-Term Evaluation** – A mid-term evaluation will be carried out at year 2 of the 5 year project. This evaluation will address the relevance and efficiency of project implementation to data and will integrated the results of the overall project M&E system. A part of the overall evaluation will address the participation of affected persons and

communities in the establishment of restrictions and livelihoods assistance provided under the project.

- **Final Project Evaluation** - A Final Evaluation will be carried out at the end of the final year of the project. This will be the basis of the Government of Belize's Completion Report on the project. Both evaluations will integrate findings from the previous evaluation and will also conduct overall assessments of project implementation to determine if the intended project outcomes and results are being achieved. It will also address the issue of sustainability and other necessary follow up activities. As with the mid-term evaluation, the final evaluation will include the implementation of the process framework within the overall assessment and conclusions. The Mid-term and Final Project Evaluation will be used to corroborate the appropriate consultation of communities, grievance redressal and the mitigation of adverse impacts.

8.3 Information Management

The PIU will be responsible for implementing the data collection system which will comprise of formative and summative data. Data will be collected and processed by project staff during the implementation of the project and sub-projects using various methods. Both quantitative and qualitative data which shows the degree and quality of participation will be collected. Aside from standard tools to be used, participatory methods will also be used especially to gather data on the effectiveness of the livelihoods restoration and mitigation component of the project.

The SPO is responsible for the implementation of the M&E for the process framework. The officer will be responsible for: (i) maintaining the overall framework including implementation procedures, tools, and data flow; (ii) strengthening the monitoring system to ensure sound output, process and outcome monitoring; (iii) validating data; and (iv) promoting and encouraging use of data collected for project management.

8.4 Reporting and Information Dissemination

The PIU is responsible for gathering, analysing, reporting and disseminating the information obtained from the M&E system. The PIU will report to the Project Steering Committee on the results of all reports that covers any and all aspects of the process framework. The PSC will then use the information to make decisions regarding project implementation to ensure the efficiency and effectiveness of project restorative measures. Aside from the PSC, the reports will be presented to PACT as the fiduciary agency who will then submit reports to The World Bank and the Adaptation Fund.

The PIU will also provide the information to community groups and representative organization of fishers for their feedback and incorporation into their activities as it relates to project implementation. Community members and stakeholders will have an opportunity to review reported information and provide feedback.

8.5 Monitoring and Evaluation Framework

The M&E framework below outlines the various components of the process framework, data to be collected, method of collection, frequency of collection and the responsible party. The monitoring and evaluation of the process framework will be incorporated into the overall project M&E system especially as it pertains to data collection.

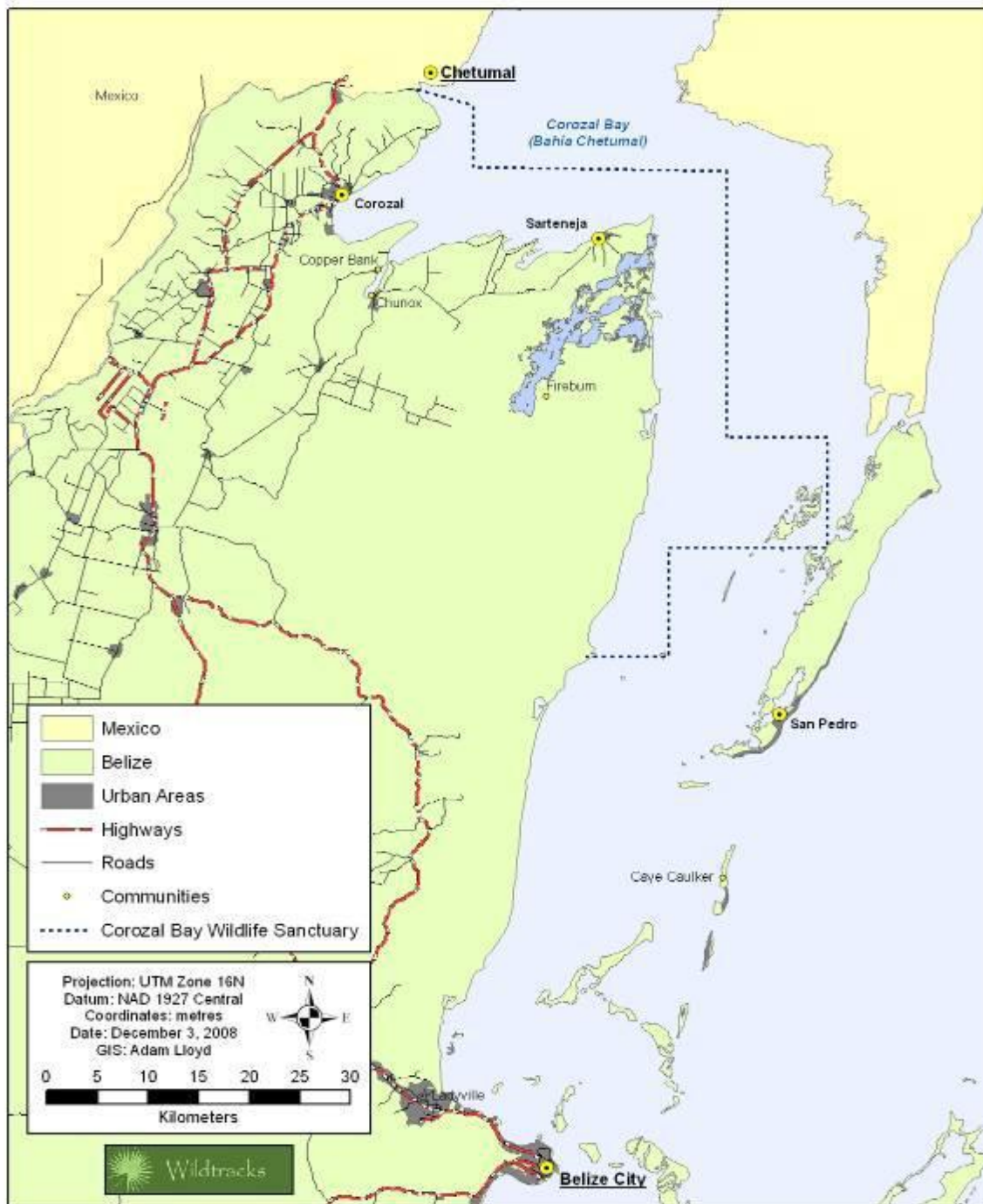
Component/Objectives	Indicators	Means of Verification	Frequency	Responsible
Component 1 – Participatory Conservation Planning				
Objective 1.1 – Zoning Schemes are developed in consultation with local communities	<ul style="list-style-type: none"> No. of awareness raising events held No. of consultation workshops held 	<ul style="list-style-type: none"> Staff field reports Consultant reports Interviews with representative organizations 	<ul style="list-style-type: none"> Per event/session, per targeted MPA 	<ul style="list-style-type: none"> Field Staff Consultants Senior Project Officer
Objective 1.2 – Eligibility criteria of displaced persons are developed in a participatory manner	<ul style="list-style-type: none"> Eligibility criteria developed No. of committee meetings held 	<ul style="list-style-type: none"> List of eligibility criteria Minutes of meetings Attendance sheets 	<ul style="list-style-type: none"> Per session 	<ul style="list-style-type: none"> Field Staff Senior Project Officer
Objective 1.3 – Impacts of conservation measures are assessed in a participatory manner	<ul style="list-style-type: none"> No. of consultation workshops held No. of meetings with co-managers of MPAs 	<ul style="list-style-type: none"> Staff field reports Meeting reports 	<ul style="list-style-type: none"> Per event/session, per targeted MPA 	<ul style="list-style-type: none"> Field Staff Senior Project Officer
Objective 1.4 – Inclusion and participation of vulnerable groups is facilitated	<ul style="list-style-type: none"> No. of information sessions held with vulnerable groups including elderly and women 	<ul style="list-style-type: none"> Staff field reports 	<ul style="list-style-type: none"> Per event/session, per targeted MPA 	<ul style="list-style-type: none"> Field Staff Senior Project Officer
Objective 1.5 – Other stakeholders of marine resources participate in conservation planning	<ul style="list-style-type: none"> No. of consultation workshops attended by members of Advisory Committees 	<ul style="list-style-type: none"> Staff field reports Consultant reports Interviews with MPA co-managers 	<ul style="list-style-type: none"> Per event/session, per targeted MPA 	<ul style="list-style-type: none"> Field Staff Consultants Senior Project Officer

Component 2 – Restoration and Mitigation Measures				
Objective 2.1 – Alternative livelihoods subprojects for affected persons elaborated and financed	<ul style="list-style-type: none"> No. of business plans financed At least 30% of beneficiaries are female from affected households 	<ul style="list-style-type: none"> Consultant reports Subproject participatory evaluation reports 	<ul style="list-style-type: none"> Per subproject 	<ul style="list-style-type: none"> Consultant Senior Project Officer
Objective 2.2 - Project beneficiaries have diversified livelihoods and reduced dependence on traditional fishing	<ul style="list-style-type: none"> % of affected fishers have diversified their livelihoods At least 30% of beneficiaries are female from affected households % of project hires are former fishers from affected communities 	<ul style="list-style-type: none"> Subproject participatory evaluation reports Mid-term evaluation reports Final evaluation reports Approved contracts 	<ul style="list-style-type: none"> Per subproject Year 2 Year 5 Annually 	<ul style="list-style-type: none"> Consultant Senior Project Officer Project Coordinator
Objective 2.3 – Community members are participating in training based on training needs assessment	<ul style="list-style-type: none"> No. of participants in training At least 30% of beneficiaries are female from affected households 	<ul style="list-style-type: none"> Consultant Training Reports 	<ul style="list-style-type: none"> Per course, annually 	<ul style="list-style-type: none"> Training consultant Senior Project Officer Project Coordinator
Objective 2.4 –Indigenous people receive appropriate assistance and benefits	<ul style="list-style-type: none"> No. of subprojects approved and implemented focused on indigenous people 	<ul style="list-style-type: none"> Projects approved by PSC 	<ul style="list-style-type: none"> Annually 	<ul style="list-style-type: none"> Senior Project Officer Project Coordinator
Component 3 – Grievance Redressal Mechanism				
Objective 3.1: GRM Sub-Committee of PSC and PIU members established.	<ul style="list-style-type: none"> Meetings held every quarter Report to PSC on GRM activities submitted 	<ul style="list-style-type: none"> Minutes of meetings Copies of reports submitted Staff TORs 	<ul style="list-style-type: none"> Quarterly Annually 	<ul style="list-style-type: none"> Senior Project Officer GRM Committee

	<ul style="list-style-type: none"> GRM responsibilities are incorporated into staff TORs 			
Objective 3.2: Staff and community members are aware of and are able to use the GRM	<ul style="list-style-type: none"> Training sessions with staff held GRM training at Project Inception training Community consultations held on GRM Marketing materials on GRM developed 	<ul style="list-style-type: none"> Session Agenda List of participants Staff Field Reports Literature available 	<ul style="list-style-type: none"> Per session Per Quarter 	<ul style="list-style-type: none"> Project Coordinator GRM Committee
Objective 3.3: GRM effectively meets the needs of affected communities	<ul style="list-style-type: none"> Number of complaints/grievances registered Percentage of grievances resolved Percentage of grievances redressed within stipulated time period Time required to resolve complaints (disaggregated by different types of grievances) Percentage of complainants satisfied with response and grievance redress process 	<ul style="list-style-type: none"> Grievance Log Form Correspondence to aggrieved parties Grievance Summary Sheet Mid-Term M&E Final M&E 	<ul style="list-style-type: none"> Monthly Per Case Per quarter Year 2 Year 5 	<ul style="list-style-type: none"> Project Coordinator Senior Project Officer GRM Committee Consultants
Objective 3.4: Results of GRM activities are publicized to ensure transparency	<ul style="list-style-type: none"> GRM reports submitted to the PSC Results of cases published in project newsletter/website 	<ul style="list-style-type: none"> GRM reports Project newsletter/website 	<ul style="list-style-type: none"> Quarterly 	<ul style="list-style-type: none"> Project Coordinator

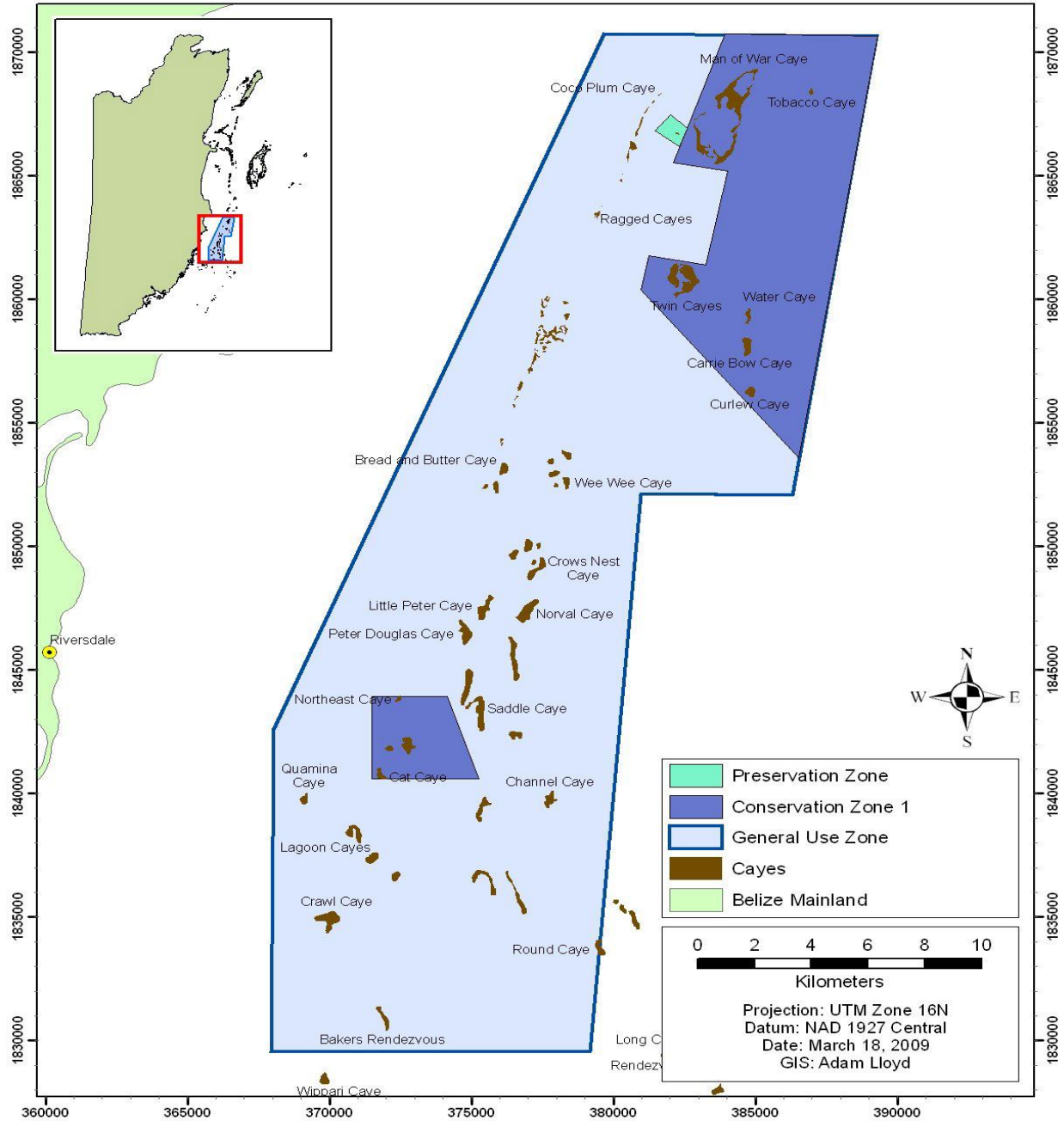
9 ANNEXES

Annex 1 – Map of Corozal Bay Wildlife Sanctuary

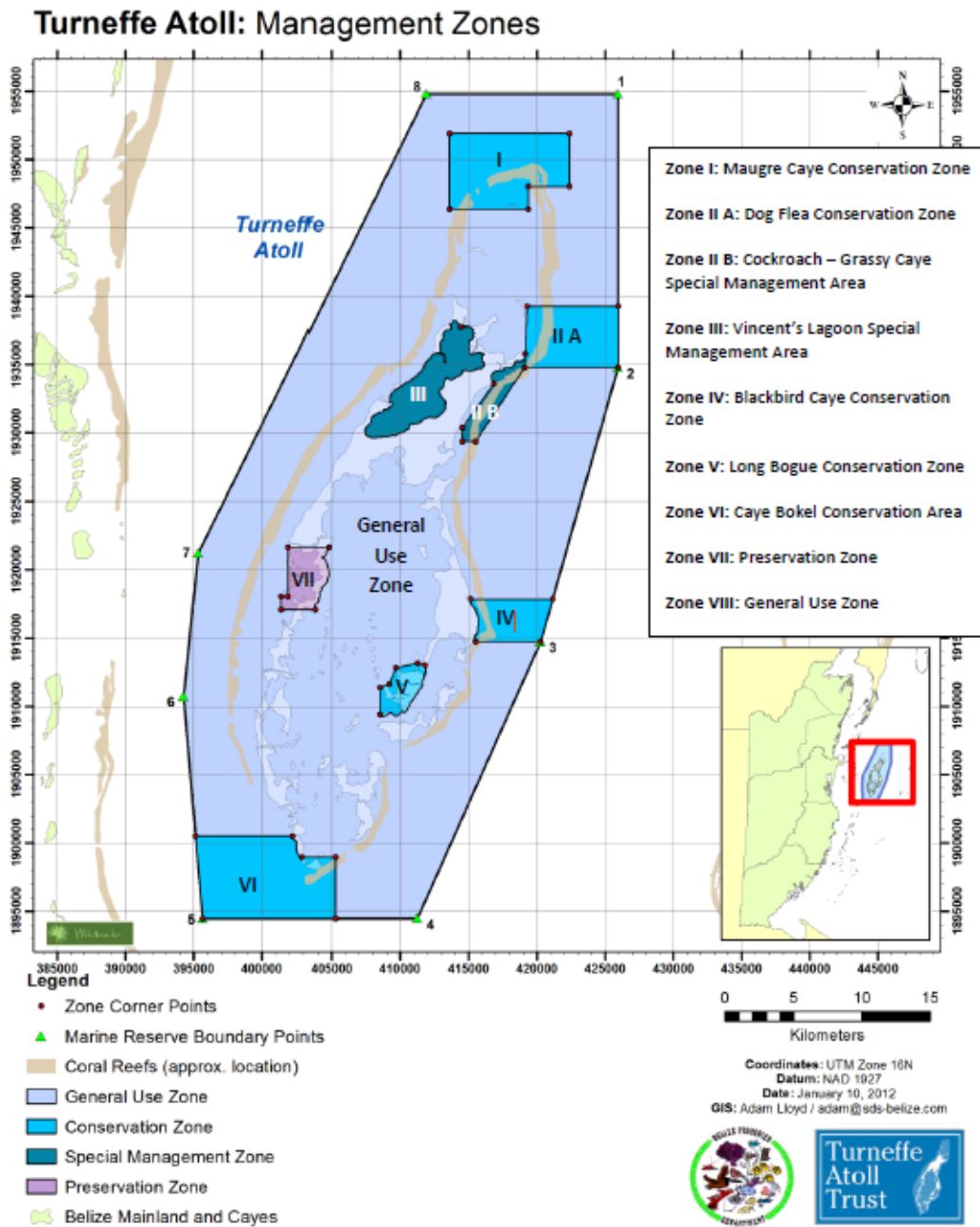


Annex 2 – Map of South Water Caye Marine Reserve

South Water Caye Marine Reserve: Zoning



Annex 3 – Map of Turneffe Atoll Marine Reserve



Annex 4 – Stakeholder Validation Workshop Report

MCCAP

ENVIRONMENTAL AND SOCIAL MANAGEMENT FRAMEWORK

CZMAI TRAINING ROOM, BELIZE CITY

26th September, 2014

GENERAL INTRODUCTION:

The Government of Belize, with the assistance of the World Bank is implementing the project entitled “Marine Conservation and Climate Adaptation Project” (MCCAP) with funding from the Adaptation Fund. The project’s primary objective is to implement priority ecosystem-based marine conservation and climate adaptation measures to strengthen the climate resilience of the Belize Barrier Reef System and its productive marine resources. Implementation of the MCCAP will be over a five (5) year period. The MCCAP has three main components. The project has already been approved and the safeguards instruments are necessary for the Government of Belize to proceed with negotiations with the World Bank.

The overall objective of the consultation workshop held was to finalize the project’s environmental and social safeguards instruments with the main project stakeholders. The process is expected to document stakeholders’ concerns and inputs, and the free, prior and informed consultation process resulting in the achievement of broad community support, inter alia, of the indigenous peoples’ representative organizations. The feedback is to be used to revise the instruments.

ATTENDANCE:

Participants to the consultation meeting included representatives of fisher groups, Fisheries Department, Coastal Zone Management Authority & Institute, Marine Protected Area Co-Managers, Non-Government Organizations and indigenous peoples (Garinagu).

See end of report for full list of participants.

PROCEEDINGS:

Welcome Remarks and Introduction

The session started with participants being given an official welcome by Mrs. Beverly Wade, Fisheries Administrator. She thank the participants for making the effort to attend after which she gave a brief overview of the project, the social safeguards instruments and their importance and relevance to the MCCAP. She explained that sharing the safeguards instruments and obtaining community feedback is one of the last steps before the actual initiation of the project.

The MCCAP Project – Objectives, Scope and Activities

Fisheries Officer, Mr. Adriel Casteñeda gave a presentation on the description of the project highlight the goals, expected outcomes, objectives, components and activities. He started his

presentation by provided the climate change context that is affecting the marine resources especially the reef. As climate change intensifies small developing countries will have to keep developing new adaptation strategies. The MCCAP project is one such adaptation measure focused on safeguarding Belize's marine resources that has been demonstrated to be important both economically and socially in addition to its environmental value. Mr. Casteñeda presented on all three main components of the project including the budget allocated to each component, as follows:

- **Component 1:** Improving the protection regime of marine and coastal ecosystems (US\$2 million)
 - Output 1.1: Revisiting and refining of MPA boundaries
 - Output 1.2: Realignment of MPA zoning schemes (replenishment zones)
 - Output 1.3: Revision and implementation of management plans for three targeted MPAs
 - Output 1.4: Comprehensive monitoring and research program for three targeted MPAs
 - Output 1.5: Management effectiveness studies to help inform MPA management
 - Output 1.6: Implementation of an Integrated Coastal Zone Management (ICZM) Plan
 - Output 1.7: Capacity building to coordinate monitoring of the ICZM Plan's implementation (includes CACs)
 - Output 1.8: Enforcement of development guidelines endorsed in the national ICZM Plan
 - Output 1.9: Enhancement of the protection of mangroves
 - Output 1.10: Strengthening the legal framework for coastal zone management (revision of the CZM Act)
- **Component 2:** Support for viable and sustainable alternative livelihoods for **affected users of the reef** (US\$2.45 million)
 - Output 2.1: Community-based Alternative Livelihoods Plans
 - Output 2.2: Development of Business Plans
 - Output 2.3: Capacity Building & Skills Training
 - Output 2.4: Financing & Small Grants Scheme
- **Component 3:** Raising awareness, building local capacity, and disseminating information (US\$560,000)

- Output 3.1: Climate change knowledge, attitude and behavioural practice (KAP) survey
- Output 3.2: Behaviour change communication campaign
- Output 3.3: Dissemination of information about project investments
- Output 3.4 & 3.5: Organizational strategic plans and clear organization structures for 4 fishermen's association & a national fishers alliance
- Output 3.6: Comprehensive institutional assessments of the three BFCA members

World Bank Environmental and Social Safeguard Policies

After the presentation on the project description, a presentation was given by the consultants explaining the World Bank Environmental and Social safeguard policies related to bank-funded projects. The presentation started by describing the overall objectives of the Bank's Safeguard Policies which are:

- a) to assure that social and environmental aspects are evaluated in the decision- making process;
- b) to reduce and to handle the risks of a programme or project; and
- c) to provide mechanisms for consultation and information disclosure regarding project activities to interested and affected parties.

Each of the specific triggered safeguard policies were then listed out. These include the following:

Environmental

- a. OP 4.01 Environmental Assessment
- b. OP 4.11 Physical Cultural Resources

Social

- a. OP 4.10 Indigenous Peoples
- b. OP 4.12 Involuntary Resettlement

Each of the relevant ESMF policies was described in detail. The purpose, requirements and application were all presented to the participants.

The purpose of the environmental assessment safeguards is to ensure that a project's potential environmental risks and impacts in its area of influence are evaluated. This is to ensure that impacts on the natural environment (air, water and land); human health and safety; physical cultural resources; and trans-boundary environment concerns are considered and addressed. It was explained that Component 2 of the MCCAP supports potential alternative livelihoods activities (for which the exact location and/or nature are not precisely known) including poly-culture of marine products such as seaweed farming combined with cultivation of other marine products

(e.g., sea cucumber and crab) in an integrated cultivation system; and marine tourism-based activities such as tour guiding, whale shark tourism, diving, and sailing which could have potential environmental impacts. The application of OP 4.01 entailed the development of an Environmental Management Framework, which conforms to the applicable WB environmental safeguard policies and national regulations. It was further explained that OP 4.11 (Physical Cultural Resources) was triggered as a precautionary measure, given that the MCCAP could involve small structural works and since Belize has thousands of Mayan Antiquities buried under the forests. Chance finds might occur within the project's intervention areas. Further, potential tourism-related livelihood activities could involve a known cultural site. The objective of OP 4.11 is to avoid, or mitigate, adverse impacts on cultural resources from development projects that the World Bank finances.

The purpose of the social safeguards it was shared is to ensure that the well-being of persons are considered and addressed in Bank funded projects and that it has a development and humanitarian approach. This is to ensure that Bank funded projects are indeed in line with its global poverty reduction mission. It was shared that the application of OP 4.10 Indigenous Peoples entailed the development of a social assessment and a culturally appropriate participation plan. Under OP 4.12 Involuntary Resettlement the relevant section of the policy (Section 3b) was identified and presented. Given the nature of the restrictions under Section 3b, it was explained to the participants that the relevant instrument is the Process Framework rather than an Involuntary Resettlement Policy Framework. Lastly, it was shared that the approach and spirit of OP 4.10 is being extended to all communities given the multi-ethnic and culturally diverse nature of Belize. Social safeguard measures after all are beneficial to both indigenous and non-indigenous peoples alike. OP 4.12 covers both IPs and non-IPs.

The MCCAP Environmental Management Framework (EMF)

The key elements of the Environmental Management Framework were presented and explained to the participants. These elements include:

- a. Environmental Characteristics of the Project Area
- b. Policy, legal and administrative framework
- c. Diagnosis of Impacts – Component 1 and Component 2
- d. Environmental Assessment and Screening
- e. MCCAP Project Cycle
- f. Project Organization and Management

Each of the elements was described in detail as it related to the MCCAP. Some of the key aspects that were highlighted for the participants included the fact that the EMF provides guidance to the project executing agencies (i.e., PACT and MFFSD) for Environmental Assessment procedures consistent with both the World Bank's as well as Belize's procedures. It describes an environmental assessment (EA) process that should be followed in implementing the MCCAP. It was explained that the assessment and mitigation of potential impacts to physical cultural resources is done through the EA Process as well, by including what are called Chance Find Procedures. The MCCAP is categorized as B and requires a partial environmental assessment. This means that during EMF implementation, the project executing agencies are required to consult with project-

affected groups and local NGOs about the project's environmental aspects and are required to take their views into account. For meaningful consultations between the project executing agencies and project-affected groups and local NGOs, the project executing agencies are required to provide relevant material in a timely manner prior to consultation and in a form and language that are understandable and accessible to the groups being consulted.

Involuntary Resettlement Policy – Process Framework

The key elements of the Process Framework were presented and explained to the participants. These elements include:

- a. Consultation and Participation Process
- b. Restoration and Mitigation Measures – Component 2.
- c. Grievance Redressal Mechanism
- d. Institutional Arrangements
- e. Monitoring

Each of the elements was described in detail as it related to the MCCAP. Some of the key aspects that were highlighted for the participants included the need to ensure that consultations occurred as part of the process of implementing any restrictions and that such consultation be based on the principles of free, prior and informed consultation. In terms of the restorative measure that will be put in place to address the effects that restrictions may cause, it was explained that this was embedded into the project as component 2 of the project. It was also emphasized that developing the criteria for determining project affected person (PAPs) would be through a collaborative process between the Fisheries Department, MPA co-managers and representative fisher organizations. The purpose and structure of the Grievance Redressal Mechanism (GRM) was then shared with the participants. It was shared that a regional structure was considered in the project but in hindsight this may not be necessary as it was not included in the recent BCRIP project. Lastly, it was shared with the participants that the Project Implementation Unit (PIU) and the Project Steering Committee (PSC) would be responsible for the implementation of the safeguard measures.

In terms of OP 4.10, the project affected communities identified were shared with the participants including those considered indigenous. There are three such communities in the project area. The potential social impacts were then shared with the participants. These social impacts are grouped into 5 Areas that cover multiple relevant social variables. The positive and negative aspects were discussed with the participants. It was emphasized that the social assessment was an anticipation of potential effects and not necessarily an attempt at predicting the future as that is impossible.

The Indigenous Peoples Planning Framework

Given that the approach and spirit of OP 4.10 was being extended to all affected social groups under the project, and that the restorative measure was embedded in the project as Component 2, it was explained that the culturally appropriate participation plan (Indigenous People's Plan) is a reflection of the Process Framework. Nonetheless, the importance of free, prior and informed

consultation and culturally appropriate consultation for all affected communities were re-emphasized.

DISCUSSION/FEEDBACK

MCCAP

Participants sought clarification if the consultation workshop was aimed at obtaining feedback and input in the MCCAP or the safeguards. It was clarified that the project was already developed and approved and that consultation was focused on sharing the environmental and social safeguard instruments. Input and feedback is to be provided for those.

One participant commented that it appears that efforts and initiatives to address climate change are aimed only at the micro-level and not much seems to be happening at the global level to curb the causes of climate change.

World Bank Safeguard Policies

The representative from the National Garifuna Council (NGC) stated that the focus was still on the micro-level (on the “small man”) and not on the macro-level and the severe effects of climate change on societies. The response was that the MCCAP project focuses on, as the name indicates, marine conservation and adaptation to the impacts from climate change. A few participants asked about the meaning of the term “Physical Cultural Resources”. The WB definition was shared with them, as stated on the OP 4.11 information sheet. The NGC representative stated that the Garifuna people have a Memorandum of Understanding with the Government of Belize for access to the territorial seas for intangible cultural purposes, and questioned whether OP 4.11 accounted for such situations. The response was that OP 4.11 focuses on tangible cultural resources. A few participants asked about accessibility to project information throughout project implementation. The response was that the EMF requires the project executing agencies to consult with project-affected groups and local NGOs about the project's environmental aspects and to take their views into account during the life of the project.

Environmental Assessment

Participants did not have many questions or comments related to the Environmental Management Framework. The few comments had to do with the MCCAP project cycle – for example, a participant asked if fisher folks would receive help to prepare alternative livelihood project proposals. The response was that the MCCAP project would have resources allocated to support local people in the design of projects. Another participant noted that alternative livelihood projects would have a better chance at success if the Government of Belize would provide marketing support for such projects. The response was that the PMU would provide extension support throughout the project cycle including marketing guidance and capacity building, so that the projects could be sustained over the long term. Reference was made to the Economic Alternative and Fisheries Diversification (EAFD) Plan that was recently prepared with support from the Fisheries Department, The Nature Conservancy, and fisher leaders. This EAFD Plan provides a

useful guide for possible alternative livelihood initiatives that the MCCAP project could support. It was also noted that, since the Department of the Environment (DOE) was not represented at the consultation meeting, the environmental safeguards consultant would need to ensure that the appropriate DOE officer(s) reviews the draft EMF and provides feedback for incorporation into the final report.

Social Safeguards

Participants especially the indigenous peoples' representative from NGC welcomed the new approach being brought out by the development and implementation of safeguards in development projects. One fisher group representative commented that it is a learning process after all and that as generations change better and improved approaches to working with local communities are being developed and implemented.

The IP representative asked if there is a specific definition to indigenous peoples in the World Bank policy. The consultants quoted the reference to IPs verbatim from OP 4.10 in response. A follow up question was asked if Mestizos could be considered indigenous and the response given was that based on the definition provided, this would not be so since as per the definition they would have to self-identify as such and this generally is not the case.

One participant asked whether the PSC would be responsible for overseeing the implementation of the social safeguards and whether they would be familiarized. The latter he said would need to occur so they can carry out the oversight responsibility being given to them. It was affirmed that that was the expectation in regards to oversight.

Participants concurred that the approach and spirit of OP 4.10 should indeed be extended to all project affected communities given the culturally diverse nature of Belizean society.

SUMMARY OF ISSUES/CONCERNS RAISED

The following table presents a list of the issues/concerns raised by the participants at the workshop and the response provided.

Issues/Concerns Raised	Response Given
The focus is on the micro-level (on the “small man”) and not on the macro-level and the severe effects of climate change on societies.	The MCCAP project focuses on marine conservation and adaptation to the impacts from climate change.
Question about the meaning of the term “Physical Cultural Resources”.	The WB definition was shared with them, as stated on the OP 4.11 information sheet.
Question whether OP 4.11 accounts for intangible cultural resources.	OP 4.11 focuses on tangible cultural resources.
Accessibility to project information throughout project implementation.	The EMF requires the project executing agencies to consult with project-affected groups and local NGOs about the project's environmental aspects and to take their views into account during the life of the project.

Fisher folks would need help to design alternative livelihood project proposals.	The MCCAP project will allocate resources to support local people in the design of projects.
Alternative livelihood projects would benefit from marketing support.	The PMU would provide extension support throughout the project cycle including marketing guidance and capacity building.
The Department of the Environment (DOE) was not represented at the consultation meeting.	The appropriate DOE officer(s) will review the draft EMF and provide feedback for incorporation into the final report.

NEXT STEPS/CLOSING REMARKS

Extended Feedback Opportunity

Participants were informed that the draft instruments would be emailed out to them for further consideration, comment and feedback. They were given another week in which they can provide feedback. The consultants provided their email and phone contacts to facilitate any question or comments they may have. (NB: There was no written feedback submitted by the deadline).

Finalization of Instruments

The deadline for feedback and comments is Monday, 13th October, 2014. After this date, the consultants will incorporate feedback obtained from the workshop and any other feedback obtained thereafter to finalize the safeguard instruments. These will then be submitted to PACT and the Fisheries Department for onward submission to the World Bank.

Official Disclosure

Participants were informed that once the final safeguard instruments have been accepted and approved, they will be officially disclosed through various public media. This includes the PACT and Fisheries Department websites and the World Bank InfoShop. Participants were advised that they too could host the documents on their websites. Lastly, it was recommended by the consultants that fisher groups hold hard copies of the instruments at their local offices.

ATTENDANCE AT WORKSHOP

1. Ralna Lewis – Wildlife Conservation Society
2. Ellis Guzman – Seine Bight Village Council
3. Joel Verde – Sarteneja Alliance for Conservation and Development
4. Estela Requena – Turneffe Atoll Sustainability Association
5. Angela Usher – PACT
6. Nayari Diaz Perez – PACT
7. Eleodoro Martinez – Chunox Fishermen Association
8. Cesar Munoz – Sarteneja Fishermen Association
9. Vincent Gillett – Coastal Zone Management Authority & Institute

10. Sidney Fuller – Central Belize Fishermen Association
11. Allan Burn – Central Belize Fishermen Association
12. Francisco Zuniga – National Garifuna Council
13. Levan Aldana – Central Belize Fishermen Association
14. Andrew Castillo – Hopkins Fishermen Association
15. Osmany Salas – Consultant, EMF
16. Valentino Shal – Consultant, SMF
17. Adriel Casteneda – Fisheries Officer, Fisheries Department
18. Beverly Wade – Fisheries Administrator, Fisheries Department