

**FIRST SOUTH WEST INDIAN OCEAN  
FISHERIES**

**GOVERNANCE AND SHARED GROWTH  
PROJECT – SWIOFish1**

**Process Framework**

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**Ministry of Livestock and Fisheries Development  
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## List of Acronyms and Abbreviations

BMU	Beach Management Unit
CFMA	Collaborative Fishing Management Areas
CV	Curriculum Vitae
DEMO	District Environmental Management Officer
DFO	District Fisheries Officer
EEZ	Exclusive Economic Zone
EIA	Environmental Impact Assessment
EIS	Environmental Impact Statement
EMP	Environmental Management Plan
ESA	Environmental and Social Assessment
ESIA	Environmental and Social Impact Assessment
ESMF	Environmental and Social Management Framework
ESMP	Environmental and Social Management Plan
FSDP	Fisheries Sector Development Program
GEF	Global Environment Facility
ICM	Integrated Coastal Management
IDA	International Development Association
LEA	Limited Environmental Assessment
LGAs	Local Government Authorities
MMA	Marine Management Areas
MACEMP	Marine and Coastal Environment Management Project
MFL	Ministry of Fisheries and Livestock Development (Zanzibar)
MLFD	Ministry of Livestock and Fisheries Development (Mainland Tanzania)
M&E	Monitoring & Evaluation
MPAs	Marine Protected Areas
MPRU	Marine Parks and Reserves Unit
NEMC	National Environment Management Council
OP/BP	Operation Policy/ Bank Policy
PDO	Project Development Objective
PECCA	Pemba Channel Conservation Area
PF	Process Framework
PLUM	Participatory Land Use Management
PRA	Participatory Rural Appraisal
RAP	Resettlement Action Plan
RPF	Resettlement Policy Framework
SHC	Shehia Fishermen's Committee (also known as Village Fishermen's Committee-VEC)
SMS	Subject Matter Specialist
SWIOFC	South West Indian Ocean Fisheries Commission
SWIOFP	South West Indian Ocean Fisheries Project
TAFIRI	Tanzanian Fisheries Research Institute
ToR	Terms of Reference
URT	The United Republic of Tanzania
VFC	Village Fishermen's Committee, also known as Shehia Fishermen's Committee (SHC)
WB	The World Bank
WWF	World Wide Fund for Nature

## 1. Introduction/Objectives

The United Republic of Tanzania, which includes Tanzania and Zanzibar, is preparing a fisheries project as part of the First South West Indian Ocean Fisheries Governance and Shared Growth Project (SWIOFish 1) Project. SWIOFish1 is a five-year project designed to improve the management effectiveness of selected priority fisheries at the regional, national and community level in the nine countries that border the South West Indian Ocean, including Tanzania.

This Process Framework was prepared in conjunction with two other safeguard instruments including an Environmental and Social Assessment (ESA), an Environmental and Social Management Framework (ESMF) and this Process Framework (PF). These instruments have been produced to ensure Tanzania's participation in the SWIOFish1 project meets World Bank Environmental and Social Safeguard Policies.

The SWIOFish1 project has triggered the World Bank's Safeguard Policy OP/BP 4.12 on Involuntary Resettlement, because possible implementation of restrictions on marine resource use could lead to adverse social impacts for some fishers, their households, and their communities. In such cases OP 4.12 requires the development of a Process Framework (OP 4.12, paragraph 7, and Annex A, paragraphs 26-27) to accompany the Project. The purpose of a Process Framework is to establish a process by which members of potentially affected communities participate in design of project components (in this case fisheries resource restrictions), determination of measures necessary to achieve livelihood restoration and implement and monitor relevant project activities. This Process Framework (PF) lays out that consultative process.

## 2. Project Description

### 2.1 SWIOFish Project Description

The SWIOFish1 Project Development Objective is to improve the management effectiveness of selected priority fisheries at the regional, national and community level.

While all nine SWIO countries are to participate in regional activities under Component 1, Tanzania, along with Comoros and Mozambique, will be among the first countries to receive funding for targeted project activities at the national and community level.

The primary Project beneficiaries in Tanzania are the coastal artisanal fishing communities on the mainland and islands of Tanzania and Zanzibar. These communities include small scale commercial fishers, fish and seaweed farmers, households where fishing makes up a substantial part of their livelihoods and subsistence fishers. In addition, there are producer and professional organizations, industry or fisher organizations and local co-management fisher groups, including Beach Management Units (BMUs) on mainland Tanzania) and Shehia Fishing Committees (SFCs) who are also targeted by this project.

SWIOFish1 has four components:

**Component 1: Enhanced regional collaboration.** The first component focuses on supporting coordination and cooperation for the management and sustainable development of fisheries in the South

West Indian Ocean (SWIO), in order to provide a regional public good. Component 1 includes two activities:

*Subcomponent 1.1 Enhancing capacities for managing priority regional fisheries and challenges:* This subcomponent will support (i) collaboration on management of priority fisheries, including the development of common minimum terms and conditions of access for the tuna fisheries; and (ii) cooperation on Monitoring Control and Surveillance (MCS) activities.

*Subcomponent 1.2 Sustainable regional coordination and collaboration:* This component will support (i) the development of a sustainable regional institutional framework based on SWIOFC coordination and work program; (ii) scientific, stakeholder and capacity building regional platforms; and (iii) strengthened linkages to the Regional Economic Communities (RECs).

**Component 2: Improved governance of priority fisheries.** This component primarily targets policies, strategies institutions and legal frameworks, and actions by the public sector and coastal communities necessary to improve priority fisheries management and performance and marine environmental health. It will be backed by activities aimed at understanding the resource base, and human and institutional capacity building necessary to implement fisheries policies and management plans. Three closely linked and mutually supportive activities are envisaged:

*Subcomponent 2.1 Knowledge and management of priority fisheries,* including i) strengthening of policy, institutional and regulatory framework for management of priority fisheries, ii) research on stock status and key factors affecting stock dynamics; iii) strengthening the Fisheries Information System, iv) strengthening of management and planning; v) strengthening of co-management of priority fisheries and habitats (which will be a critical factor in implementing this Process Framework); and strengthening of a cost-effective MCS capability

*Subcomponent 2.2 improving the performance of public institutions and assets.* This subcomponent will support capacity-building and infrastructure support that addresses or enhances management of specific fisheries, including i) capacity-building for national and local –level fisheries management institutions, ii) investments in constructions, rehabilitation or upgrading of strategic research or management infrastructure, and iii) economic analysis and detailed feasibility studies for bankable major infrastructure projects to be subsequently financed by public, private, PPP or international donor sources (see subcomponent 3.3.3).

*Subcomponent 2.3: Information, communications and awareness.* This subcomponent will support communications and awareness activities, and establish a publicly available web-based and newsletter Dashboard of key environmental social and economic indicators to track the progress of the sector towards achieving national policy and planning goals and making necessary adaptive adjustments of policies and programs.

**Component 3: Increased economic benefits to the region from priority fisheries.** This component primarily targets enabling the region’s private sector productivity and investment, and public investments critical to a viable private sector. The component will improve the regional business climate, assist a responsible private sector and prepare feasibility studies and designs for priority infrastructure investments for potential future investments. The component will make public investments to facilitate and support private investments in sustainable fisheries and aquaculture, in two phases. The first phase, covered by this project, will prepare analyses, organize financing and improve the sector investments climate. A second phase of financing may be available for co-financing of viable investments in infrastructure (e.g. fishing ports or roads). The project will support the following sub-components:

*Subcomponent 3.1 Improved business and investment climate*, this subcomponent will undertake several analyses to identify critical constraints in the fisheries sector. Analytics and diagnostics would include a detailed value chain analysis of priority fisheries, an enterprise survey for fisheries, and demand-supply study for mariculture leading to enhanced investment, while a sector organization element would include formation of a fisheries sector Apex institution, establishment of a public-private dialogue on fisheries, and capacity-building for beneficiaries through an enterprise skills development program.

*Subcomponent 3.2 Expansion of opportunities for priority fisheries and value addition*. This component will address a critical bottleneck in developing a vibrant fisheries sector, access to finance. This component will provide access to finance for the fisheries sector, through a Village Savings and Loan (VSL) Program to help set up self-help or fishery cooperatives in for small-scale village-level private sector, including informal enterprises and artisanal entrepreneurs. This program will be the key vehicle used by the Process Framework for addressing income losses faced by Project Affected Persons due to access restrictions.

*Subcomponent 3.3: Planning and investment in strategic infrastructure*. This component will finance selected infrastructure [projects, including testing equipment for the Kurasini laboratory and other priority projects, possibly including fishing ports, cold chains, all weather access roads to ports, fish feed factories, mariculture hatcheries, etc.

Component 4: Project Management and Coordination: This component will support country-level implementation and management, monitoring and evaluation at regional and country level and regional project coordination and implementation. It will operate through Regional and National Steering Committees (RSC/NSCs) and Regional and National Management Units (RMU/PMUs), through the following subcomponents:

*Subcomponent 1: Project management at regional level and  
Subcomponent 2: Project management at country level.*

## 2.2 Process Framework Objectives and Methodology

### Objectives of the Process Framework

The purpose of this Process framework is to establish a process whereby individuals, households or communities who may lose some or all of their livelihoods from fishing or fisheries-related activities are able to participate in a process to design the fisheries resource restrictions, determine measures necessary to restore or improve their livelihood restoration, and implement and monitor relevant project activities, per paragraph 7 of OP 4.12.

Footnote 6 of OP 4.12<sup>1</sup> suggests that where restrictions to access of resources are taking place under community-based projects, such as fisheries co-management arrangements, the policy would not apply. However, it is reasonable to assume that some decisions taken to restrict access to fisheries will be initiated by government, and will not fall solely within the discretion of the local communities. Also,

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<sup>1</sup> Footnote 6 of OP 4.12 states that “the policy does not apply to restrictions of access to natural resources under community-based projects, i.e. where the community using the resources decides to restrict access to these resources, provided that an assessment satisfactory to the Bank establishes that the community decision-making process is adequate, and that it provides for identification of appropriate measures to mitigate adverse impacts, if any, on vulnerable members of the community.”

experience from the MACEMP project suggests that co-management organizations, including BMUs on mainland and SHCs in Zanzibar, as well as the higher level organizations and government agencies they report to, have weak capacity and need further strengthening to ensure that they are able to adequately manage their responsibilities. This includes their ability to accurately assess the need for access controls, as well as to provide an inclusive community decision-making process that can adequately assess and mitigate the impacts of implementing such access controls.

OP 4.12's sections on Process Framework provide best practices procedure on how to manage the impacts of such initiatives on the livelihoods of marine-resource users. This Process Framework will serve to ensure that any decision on access controls initiated by government will have active participation from the affected parties as to how it will be implemented and what—if any—compensatory or mitigating measures are required to avoid negative social or economic impacts.

This Process Framework is designed to work alongside the existing co-management framework for fisheries that is to be strengthened under SWIOFish1, since in many cases the affected communities will be managing their fisheries through the co-management units

Note that because potential negative impacts are due to restriction of access to marine resources, unlike compensation processes used for occupied land, the Process Framework is not aimed at direct compensation of a measurable asset. Unlike other resettlement or asset replacement processes, there is no valuation for income loss. Instead the compensation for fisheries-related displaced livelihood activities is for project affected people, with Project support, to seek alternative income opportunities.

### **Methodology used to develop Process Framework**

The Process Framework was developed through a consultative process that included discussion with project designers as well as with other stakeholders, including coastal communities potentially impacted by SWIOFish. It was prepared in accordance with World Bank OP and BP 4.12, as well as with URT laws and regulations. It is based largely on the project description for SWIOFish as contained in the Project Appraisal Document, and on a number of preparatory studies that were done in support of the SWIOFish project appraisal process, as well as on discussions with fisheries and environment specialists working in or with the Ministries responsible for fisheries on mainland Tanzania and in Zanzibar and the World Bank Tanzania office who are designing the project. It also incorporates lessons learned from the Process Framework and alternative livelihoods programs which were used by the MACEMP project and other relevant projects in Tanzania and elsewhere. Even though some of the objectives of the two programs (MACEWMP and SWIOFish) were different, there is useful information to be had in examining some of the challenges faced by the MACEMP alternative livelihoods program. Process Frameworks developed for other fisheries and coastal resource management projects were also reviewed for useful lessons and approaches.

Because the SWIOFish1 project is still under development, and because it is difficult at this point to gauge the scope of access controls and how many communities it will affect, many of the recommendations and suggested approaches in this PF are illustrative and will need to be fleshed out in further detail, either in the Project Implementation Manual or other documents defining in more detail the scope of project activities related to access controls.

Stakeholder consultations and primary research for the PF were done in a number of coastal communities, in conjunction with the ESA/ESMF. Locations on both the mainland Tanzania and Zanzibar were chosen using a number of considerations. A cross-section of fishing communities were visited including those involved in development of Marine Protected Areas (on mainland or Zanzibar) and co-management units. Coastal villages that had fishing or mariculture activities were selected, as well as those where fishers

pursue a variety of the priority species. Discussions were held with local representatives of national ministries, as well as local government officials, BMU, SHC and other community groups heads or members, fishers and mariculture practitioners. Both women and men were interviewed, including fishers and mariculture practitioners representing a range of ages and experience.

### **Scope and likely users of this document**

Target users of this PF include SWIOFish project managers and implementers in national and local governments, as well as the co-management organizations and broader communities of mainland Tanzania and Zanzibar where fisheries play an important role in local livelihoods, private investors in fisheries and fish processing, as well as implementing partners (NGOs or consulting firms) likely to be working with project affected communities and individuals.

## **3. SWIOFish1 Project Component activities that involve restrictions on Resource Use or Access**

As noted in the introduction, and described in more detail in the SWIOFish ESA study, the environmental and social impacts of the SWIOFish project are largely seen as being positive, but there may be some negative impacts. Overall environmental and social impacts of project will be largely positive, including the likelihood it will:

- Improve health and sustainability of fish stocks
- Improve long-term sustainability of fisheries
- Improved governance of fisheries including strengthened co-management
- Increase value-added opportunities to maintain or grow incomes from fisheries

The primary negative impact is that by the SWIOFish project introducing access and harvest controls into some priority fisheries, some individual households and communities their livelihoods reduced or in some cases effectively eliminated. Where, when, and how has yet to be determined based on state of stocks research, but access controls are likely to be introduced in or near a number of coastal communities.

- Short-term impacts are expected for some fishers, but access restrictions are intended to bring longer term sustainability and increased value-added to fisheries overall
- This Process Framework is designed to address these potential negative impacts

### **3.1 Safeguard Policy Trigger**

While the overall SWIOFish goal is long-term improvement of fisheries resources and fishers' incomes, project activities may lead to some short-term negative impacts on some fishers' communities due to loss of access to resources. Improving fisheries management will likely require policy changes in use of coastal and marine resources, including introducing restrictions on access to fisheries by those who have traditionally made a living through fishing and related activities.

In such cases, World Bank Safeguard Policy OP 4.12 is triggered, because it involves a project restricting people's access to marine resources. OP 4.12's Annex A mandates the development of a Process Framework, which will serve as a guide to help ensure the participation of affected people in the design of



project activities and to ensure that affected communities have an opportunity to improve or restore their incomes and standards of living after loss of access to their traditional livelihoods.

This Process Framework primarily pertains to **Component 2 of SWIOFish: Improved Governance of Fisheries**. Given the project's objective of improving fisheries management and performance and marine environmental health of the region, it is likely that research on priority fisheries to be conducted under the project in support of national priority fisheries plans will determine that access to some species and/or to fishing in some coastal or marine locations will need to be limited to ensure long-term sustainability of the ecosystems and species. Access controls could be spatial or temporal, and range in scope from short-term closures of certain locations to fishing, to longer-term or even permanent prohibitions on fishing in certain areas such as marine reserves or marine conservation areas. These restrictions may involve one or multiple species in a particular location. Other fishery conservation measures may include limiting the number of licensed fishers or boats, or prohibiting certain types of fishing gear currently used by fishers. It is also possible that at some point the existing co-management arrangements, which establish a form of property rights to harvest fish, may lead to the establishment of Individual Transferable Quotas or Territorial Use Rights to Fish (TURFs).

### 3.2 Likely Impacts of Access Restrictions

The notion of access restrictions assumes that it is possible to establish a sustainable harvest strategy that allows fish stocks to thrive, while providing enough opportunity for fishers to continue to earn at least some if not all of their income from fisheries activities and related onshore activities such as processing, boat maintenance, net-making, or other alternative livelihoods, including mariculture, beekeeping, farming, etc.

Specific types of changes that could occur in the fisheries sector in Tanzania and Zanzibar include:

- Loss of access to marine resources in a particular area, i.e. displacement of fishers
- Change to the quality or quantity of resources a household can access
- Change in seasonal access to a resource
- Change in nature of access (i.e. from unregulated to regulated)
- Change in types of assets needed to access resources (e.g. banning certain fishing gear)

The intent of the access restrictions is to stabilize and make more sustainable harvests in the medium and long-term. Short-term impacts due to change in fishing practices may lower fishers' incomes, but ideally would be followed by a longer-term sustainable steady state period where fisher incomes are maintained, although perhaps not at the same level as before. But even if fish catches actually go down because of access restrictions (fewer boats, different gear, shorter seasons, increase in no take or other limited access areas, etc.) the intent is that income produced by the fish that are caught will be higher per unit landed because of fewer post-harvest losses, and higher value-added due to improved processing, marketing, etc.

However it is possible that there will be long-term impacts to some individuals, households or communities. Fisheries resource management will be changing from what is in most cases along the Tanzanian and Zanzibar coast a largely open access regime to a regulated or limited regime. There are already significant levels of impoverishment in many communities which rely on fishers for a significant portion of their subsistence income and food sources. If productive assets are lost in the form of restrictions, it would weaken community and family institutions, social network, traditional authority, family structures and mutual help systems in communities.

In all of the above cases, there is a potential for current fishers to see a reduction or elimination of their income from fishing activities if such access controls are enacted. Likewise some land-based activities, including processing that depends on these fisheries, and the families of fishers who depend on the fisheries for subsistence income and/or food, may be negatively affected. These effects could be short-lived in the case of temporary or seasonal closures of fisheries, or longer-term if the access controls stretch beyond a year or two, or become permanent. In addition, the project objective of strengthening MCS capability will also have an impact on those who fish illegally, using improper gear or dynamite, or without proper permits. This is considered a shorter-term impact and not one that requires specific compensation, although support for awareness raising and transitioning to legal fishing methods needs to be a key part of any training or technical assistance package and compensation scheme targeting affected persons.

Also, although not specifically targeted as SWIOFish1 project objectives, it is possible that creation of new Marine Protected Areas (MPAs), or Marine Conservation Areas (MCAs), or tighter restrictions on fishing in or near existing ones will lead to reduced access to marine resources for some groups or communities of fishers.

The general case for negative impacts brought on by access controls is presented here, however actual impacts will depend on specific measure taken in specific locations, including those discussed elsewhere in this document under planned SWIOFish co-management activities. A key aspect of OP 4.12 when it is invoked for loss of assets is that there must be participation of the project affected persons in consultations on specific proposed restrictions, impacts likely to occur those stakeholders, and formulation of possible mitigation measures that will work in the local context. This participatory aspect is discussed below.

### 3.3 Participatory Engagement of Affected Communities

An important principle and requirement of any Process Framework is to establish an enabling environment in which Project Affected Persons (PAPs) can participate in developing mitigation measures against negative impacts caused by the Project. This includes providing these people with input into:

- Proposed access restrictions,
- assessment of impacts,
- determination of measures to reduce impacts caused by limiting access to fisheries resources, and
- developing monitoring and management plans for new activities funded by the SWIOFish1 project under the Process Framework.

Project staff may decide to modify the proposed restrictions and/or mitigation measures as a result of community input on how to lessen negative impacts while still achieving resource protection and conservation goals.

The activities proposed in this PF will occur against the backdrop of co-management arrangements established in many fishing communities and which will be strengthened under SWIOFish. These co-management units were created to improve participatory and collaborative local fisheries management of fisheries and economic returns. While this PF will build on the participatory mechanisms of co-management units, additional measures will need to be put in place to ensure that the special concerns of PAPs are addressed.

#### **Importance of Co-Management Units**

Co-management units are created for and empowered to make decisions on the most equitable and effective approach to conserving fish stock, while continuing to earn a living from the fishery. This

stewardship role is important when access controls are introduced, as it provides vehicle for the community to collectively assess the potential impact of reductions or significant changes in existing fishing practices.

A distinction is drawn between communities which may—on their own—decide to limit access to fisheries resources, and those communities where the restrictions are imposed through SWIOFish activities. In the former, because the self-imposed restrictions are voluntary, there is no triggering of the Process Framework, although the community may choose to use the same or similar participatory approaches to respond to the impacts of restrictions on fishing. In the latter case, where the restrictions are mandated by the Project, the Process Framework will apply.

Because the co-management and other activities that will respond to PAPs are essentially the same mechanism as those used for other SWIOFish beneficiaries (and in fact in many communities these two stakeholder groups may be one and the same, or nearly so), it is assumed that the co-management units will serve as a primary vehicle for involving PAPs and the broader community in the consultations and planning for any access restrictions and mitigation measures. There is always the likelihood that some community members or households will be more severely impacted than others, and this will need to be addressed in the impact assessment and mitigation aspects of any PF developed for a particular group of PAPs.

## 4. Criteria for eligibility of affected persons

### 4.1 Profile of Coastal Communities

An estimated 16 million people live along the 1400 kilometers of coastline in Tanzania and Zanzibar, and tens of thousands of families depend on the sea for their livelihood as it provides both food and income. The bulk of those involved in fishing are artisanal fishers, using paddle or sail-powered boats to provide a basic livelihood for their households. There are some commercial fisherman, and a growing number of mariculture activities, primarily seaweed cultivation, which is largely done by women. Often the subsistence of a household depends on a combination of activities undertaken by household members.

Traditional livelihoods in coastal communities include:

- Artisanal fishing (near shore, no mechanized fishing, using small boats, dhows, etc., many without motors)
- Mariculture activities (seaweed farming shell collection, small scale shrimp farming, crab fattening, pearl and shellfish culture)
- Mangrove activities (mangrove harvesting, beekeeping)
- Subsistence agriculture, including cassava, bananas, rice maize, sweet potatoes, groundnuts, tomatoes, pineapples, etc.)
- Cash crop agriculture, including cocoanuts, cashew nuts, mangos, cloves, vanilla, etc.
- Livestock keeping (cattle, goats, sheep, poultry, donkeys, horses)
- Mining (salt, sand, coral)

Note that some of these coastal community activities, including cutting of mangroves for firewood, mining sand and coral for construction use, and some types of fishing, including dynamite fishing are either illegal or are discouraged because of their harmful environmental effects. The PF is not intended to restore livelihoods for those who are conducting illegal activities, such as fishing with dynamite or illegal gear. Rather these activities and their practitioners will be targeted along with other law-abiding

community members by SWIOFish awareness-raising activities stressing why those processes should no longer be followed. The increased MCS component of the project, including a greater role and vigilance in the community through strengthened co-management units should lead to these practices being greatly diminished.

### **Communities targeted by SWIOFish project activities**

SWIOFish project planning envisages working with a number of target coastal communities on mainland Tanzania and in Zanzibar, to strengthen their co-management of fisheries. Various types of restrictions on fisheries, ranging in size and scope may be implemented in some of these communities, as indicated below.

#### **Mainland Tanzania Co-Management Initiatives**

Fisheries co-management efforts will focus on three key activities:

- Co-management work will likely focus on 60 communities in five districts or municipalities (Mkinga, Tanga Municipality, Pangani, Bagamoyo, Lindi or Mtwara municipality) There may be some limited access restrictions implemented in these areas, possible including closed areas or replenishment zones. These are likely to be short-term in nature, with a goal of increasing fisheries production in the medium to long term (2-3 years and beyond)
- Restrictions are likely to be introduced on illegal prawn nets (which use a mesh that is too small), possibly in as many as ten communities, primarily in Rufiji, but possibly also in Bagamoyo and Mtwara
- Reduction or elimination of illegal dynamite fishing along the entire coast, especially around urban centers of Tanga, Dar es Salaam and Mtwara, plus Kilwa. Exact numbers of dynamite fishers are not known, but this could affect 500 fishers
- Small pelagic fishers, many of whom are migrant fishers from Zanzibar, Dar and Mtwara, may face some restrictions, depending on results of research on stocks

#### **Zanzibar Co-management activities**

- Co-management work in Zanzibar will focus on 50-60 communities located within the three large existing Marine Conservation Areas: Pemba Channel Conservation Area, Menai Bay Conservation Area, and Mbemba Island Conservation Area. Here there may be short term closed areas or replenishment zones (in some cases the focus may be on gaining increased compliance on the restrictions already in place) with the intent of improving or enhancing medium to long-term fisheries production
- Two new conservation areas are set to be established in Zanzibar (Tumbatu Conservation Area and Changuu-Bawe Conservation Area). They may receive some minor support from SWIOFish for infrastructure or equipment support, but there are currently no plans for the project to implement any access restrictions on communities in the zones, although the conservation area authorities could choose to do so separately

## **4.2 Communities and Persons most likely to be affected by Access Controls**

Based on the above planned activities, community or individual fishers likely to face the most significant restrictions include:

- Dynamite fishers throughout the coastal regions. These groups typically target reef fish and tuna

- Prawn fishers using small-mesh prawn nets, primarily in the Rufiji Delta, but also in other areas like Bagamoyo and Mtwara. This activity is mostly carried out by women.
- Small pelagic fishers (sardines, anchovies and small mackerel) who are migrant fishers from Zanzibar, Dar and Mtwara

Most of the access restrictions are likely to affect artisanal fishers. However, there may be large investors including those who own boats and/or back dynamite fishing. Given that dynamite fishing is and has long been illegal in Tanzania (but its prohibition has been poorly/unevenly enforced in recent years), the project does not anticipate providing any help in transitioning these players to other livelihoods. There will be increased MCS efforts focused on these practices and efforts to raise general awareness of the harmful effects of dynamite fishing within communities, so as to enable and empower community-level efforts to discourage such practices.

Depending on the results of research on small pelagic fisheries, there may be some restrictions placed on owners of boats that use purse seines, in which case they may be eligible for VSL loans to transition to some other kind of fisheries or other activity. The loss of nets and use of nets is considered to be small and is offset by the fact that these fishers will retain their key assets: boats with engines, which can be used as collateral for other activities.

It is assumed that many of the communities where access controls may be implemented are those that are already under a co-management system, or will be as a result of SWIOFish co-management activities. Thus to a certain extent there will be information on who is involved in the local fishing activities, as well as communication and participation mechanisms for engaging them in decisions about how changes in access to fisheries will occur.

It is difficult to estimate the exact number of Project Affected Persons (PAPs). The average coastal community size in Mainland Tanzania and Zanzibar is approximately 2000-2500 inhabitants, ranging between 1500 and 4000. Average household size is around 5 persons, of which one or several may be fishers. However, a 2009 Frame Survey found a total of 8285 fishers, including 1900 foot fishers, in the mainland Tanzania districts or municipalities where SWIOFish has targeted around 60 communities (Mkinga, Tanga municipality; Pangani; Bagamoyo, Lindi and/ or Mtwara municipality).<sup>2</sup> Not all of the targeted communities may need to implement access controls, and some may only be temporary closures for a few seasons until fish stocks are replenished. In Zanzibar, Frame surveys identified a total of 34,571 fishers, including 7384 foot fishers, operating on the entire coastlines of the two islands of Pemba and Unguja.<sup>3</sup> SWIOFish plans to work with 50-60 communities located within three large existing marine conservation areas on Pemba and Unguja which only cover around half of the coastlines of the two islands, suggesting not more than 10,000-15,000 fishers could participate in co-management plans. Out of a total of approximately 18,000-23,000 fishers potentially targeted by SWIOFish in both Mainland and Zanzibar, very few of them would be adversely affected by the co-management plans, which will be decided at a community level. Based on current experiences, it is estimated that approximately 3% of the fishers participating in co-management plans would be adversely affected, or a total of approximately 600-800 PAPs.

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<sup>2</sup> DHI and Samaki (2014c). Coastal Profile for Mainland Tanzania 2014 District Volume "Draft 0. DHI and Samaki Consultants. April 2014.

<sup>3</sup> DHI and Samaki (2014d). Regional Profile for Zanzibar Tanzania 2014 Thematic Volume "Draft 0. DHI and Samaki Consultants. April 2014.

### 4.3 Selection Criteria

Generally the provisions of the Process Framework will apply to those who are involuntarily forced to limit or end previous practices. However, given the precarious and uncertain nature of some fisheries, there may be fishers who choose voluntarily to seek alternative livelihoods. While the SWIOFish VSL and other schemes are there to assist them, these people will not get priority treatment as will those who are involuntarily forced to change their livelihoods. Ultimately the eligibility criteria for the Project Affected Persons should be determined in each situation by the communities affected by the access restrictions in consultations with government and project staff.

Eligibility of groups and individuals deemed as “affected” by a “loss of assets or access to assets” could include individuals, households or communities. In terms of determining the types of assets and livelihoods affected by access restrictions, criteria can be provided for identification of affected individuals, households and communities. Eligible groups might include:

- **Members of a community who are directly affected by new restrictions:** because their access to natural resources (i.e. fishing) will be restricted and/or lost. This group would also include vulnerable persons; and
- **The wider community:** that includes multiple users who access specific areas for shorter periods of time or who have economic links to resources in the area. This includes migratory fisherman who seasonally move down the coast to different regions.<sup>4</sup>

Within these categories three types of affected persons can be defined for inclusion under the Process framework<sup>5</sup>. These include:

- **Affected individuals:** These are individuals who suffer a loss of assets or investments, or access to natural or economic resources as a result of the Project. These might include individuals who normally have access to marine resources for fishing that are partially or completely off limits. These individuals include vulnerable persons, possibly including elderly, youth, women and the disabled.
- **Affected households:** Affected households are those where due to Project-derived access restrictions, one or more individuals are no longer able to access marine resources for their livelihoods, and also includes their relatives or other co-residents who depend on them for part or all of their well-being.
- **Affected local communities:** A community that is affected by implementation of access controls or other loss of access to marine resources as a result of the Project may see changes in its overall socioeconomic standing or its social cultural relationships and cohesion.

Note the eligibility criteria should specify which groups are *eligible for assistance* and mitigation measures, not merely groups affected by the project. The criteria may exclude persons or groups from assistance because their activities are clearly illegal, unsustainable and destructive (such as dynamite fishers or wildlife poachers). The criteria may also distinguish between persons utilizing resources

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<sup>4</sup> There is a tradition of migratory fishing along the coast of URT. During seasonal fluctuations, migratory fisherman can double the local fishing populations in certain areas such as within the Rufiji-Mafia-Kilwa area. There are also fishers who cross the channel between the islands of Zanzibar and mainland Tanzania at different times of the year to fish on the other side from their home ports (Source: MACEMP ESA)

<sup>5</sup> Adapted from MACEMP ESA.

opportunistically and persons using resources for their livelihoods, and between groups with customary right and non-residents or immigrants.

While a process to determine eligibility should be guided by the above criteria, it is the affected communities who must be consulted for their views on who is eligible for project assistance to deal with project impacts. In many cases the entire community may be affected, although some members more so than others.

### **Social Assessments**

Social Assessments should be led by project team members or implementing partners, ideally in a participatory format, such as a participatory rural appraisal (PRA). This study will serve to inform the decision-making process for access restrictions and likely mitigation options, including an identification of potential environmental and social threats or opportunities, potential sources of conflicts over use of natural resources, methods for solving such conflicts, and strategies for local participation in project implementation, including monitoring and evaluation. Note that SWIOFish project planning documents call for a baseline household survey to be carried out in some coastal regions. Depending on the nature of the proposed restrictions and the potentially affected communities, these surveys may provide sufficient information on the communities, or additional studies may need to be done.

Also, since many of the communities likely to face access restrictions are those that are already under co-management, as such, information should be available on the individuals, households and communities that are likely to be affected by access controls. However, since information may vary from community to community, or the level of impact likely to be felt by certain individuals, including vulnerable people, or certain households may not be immediately obvious, it is recommended that baseline social assessments be undertaken when such loss of access will occur.

The scope of the social assessment carried out in a particular community will depend on the projected magnitude of the impacts of the access restrictions. For small communities or where it is anticipated that only a few community members will be affected, simple consultations in groups or individuals may be sufficient to assess social impacts. For larger communities or where impacts are expected to affect a larger number of people, more detailed social assessments may be required.

The social assessments may draw on secondary information that may be available through government generated data such as census data, co-management reports, information available from NGOs operating in the area, etc. Types of information useful for identifying affected groups would include:

- Number of households (census information, election registry)
- Gender and age distribution of communities
- Type of livelihood activities and participation levels and
- Migration rates and characteristics of migrants.

Once this secondary information has been gathered and evaluated, primary data can be gathered through household surveys and other consultations in the community. This work would be done most likely by consultants working for the Ministry NIU or the implementing partner.

Primary data that may be useful to gather, especially in larger communities with more diverse populations and/or economic activities include:

- Social and economic structure of harvesting, processing, marketing and distribution of fish, shellfish and their products by fishing families in small fleets



- Roles of men and women and other family members
- Knowledge of the role of religion in the status of fishing fleets or certain types of fishing activities
- How activities are funded
- How catches are divided among crew (e.g. owner, captain, crew members)
- Knowledge of customary patterns of marine tenure, such as village rights to geographic areas or species-based harvesting

This data gathering would be supplemented with information gathered in public fora such as village-wide meetings organized by the local BMUs or SHCs and implementing partner. These meetings serve two functions: to gather information and to provide an opportunity for stakeholder interaction on the impacts of access controls and possible mitigation measures to be undertaken by the impacted fishers and their communities.

General impacts of restrictions on the community should be complemented with specific info about individuals, or families who will be adversely affected. Specific family info would cover family demographic and economic characteristics, including:

- Resident family members gender age, education and skills, and occupations (both primary and secondary including seasonal work)
- Non-resident family members (if any)
- Source of income, by family member, including remittances
- Preferred alternative occupations of directly affected family members
- Training needs or other assistance necessary for them to undertake this (or other) alternative livelihoods activities.

This information on individual families is private and should be collected in individual interviews by the implementing partner or government agent. It is advised to conduct separate interviews with family members so women can express their concerns freely.

## 5. Mitigation and Livelihood Restoration Measures

**A critical aspect of the determination of mitigation measures** in a Process Framework is that the PAPS and larger community are engaged in consultations to determine mitigation options (although it is up PAPS to ultimately select which option they will choose) to improve or restore their livelihoods. These consultations would build on the findings and community input obtained in the social assessment (if one is carried out as a separate activity).

It is important to note that many key aspects of the SWIOFish program, including improving the capabilities and effectiveness of the village-level fisheries co-management units and local government entities, improving the gathering and dissemination of information on fish stocks and catch data, strengthening value-addition and post-harvest preservation and marketing of products, as well as improved MCS capabilities and enforcement, are designed to increase income per unit of catch. These activities will mitigate much of the impact of access restrictions and strengthen fishers, households and communities that depend on fisheries-related livelihoods. Thus even where access restrictions may need to be implemented, communities already will have improved their resilience for meeting such restrictions. Examples already exist of communities or co-management units that voluntarily agreed to impose their own access restrictions, without seeing significant loss of income at the community level, due in large part to the community cohesion that enabled such collective actions to be taken.



However, there will no doubt be fishers, households or communities who will need targeted assistance and mitigation measures for restoring the livelihoods if access restrictions are imposed. Livelihood restoration measures will be based on existing programs planned under **Component 3, subcomponent 3.2 Expansion of opportunities for priority fisheries and value addition.**

This component will provide access to finance for the fisheries sector, through a Village Savings and Loan (VSL) Program to provide financial assistance and technical training for fishers and other coastal community residents..

The Village Savings and Loans (VSL) Program will set up Self Help groups (SHGs) or fisheries cooperatives in coastal villages. The target beneficiaries are fishers, as well as other coastal community members interesting in developing micro and small-scale, village-level private sector activities, including informal and artisanal enterprises. The process, which is loosely modeled on the CARE VSL program with modifications, would work to help small groups of villagers form SHGs, begin to assemble collective savings, and then use a onetime capital infusion from the VSL program to pursue entrepreneurial income-generating activity. A complementary program to provide skills training for the SHGs is also planned..

This Process Framework proposes that the same alternative livelihoods mechanism be used for PAPs, however as PAPs become identified, they would receive priority access to the VSL services because of their impending loss of access to resources. The main considerations are that PAPS themselves decide which activities they want to become involved in as a group, and that the options have a reasonable assurance that lost income can be replaced in a reasonable period of time. Unlike the MACEMP alternative livelihood program, which presented a preselected menu of livelihood activities to choose from, with poor take-up results, the SWIOFish1 program would focus on establishing successful village savings cooperative groups, who would then decide how to invest their collective savings and request technical support for that activity.

The range of alternative livelihood activities are quite broad, and they will be offered to any community member in communities affected by access restrictions, not just affected fishers. Types of activities funded by the VSL program could include fisheries-related activities, such as improving post-harvest processing techniques (e.g. storing fish on ice or in freezers), improved fishing techniques, boat maintenance, sail-making, and mariculture. Mariculture options include fish farming, crab fattening, pearl or shellfish cultivation, and seaweed farming. The VSL program would also fund non-fisheries-related activities as a way of diversifying the sources of livelihood in fishing communities. Some alternative livelihood activities implemented by fishers in the past include farming, mushroom cultivation, beekeeping, salt production, poultry farming or other activities. Other activities that could be funded include ecotourism ventures or other tourism support services (tour guides, boat tourism, dolphin or turtle watches, catering, provision of seaweed-based soaps, furniture and other goods to hotels, etc.)

There is a potential risk factor to using the VSL program as the primary vehicle for restoring livelihoods of PAPs. The SWIOFish credit scheme is designed to incentivize groups of fishers or other community members to collaborate on accessing VSL funding to grow current businesses or start new ones. However, it is recognized that vulnerable communities, households or individuals who find their traditional livelihood ending or being limited due to access controls may have a harder time adapting to the self-help group approach being taken by the VSL scheme. As such these PAPs may need additional support and guidance to enable them to organize and create self-help groups to access the funding sources and identify viable alternative livelihood opportunities to pursue.

## 6. Communications and Consultations

Communications and consultations are central to a Process Framework, because participation of project affected persons and their communities. The Process Framework is triggered when a decision is made by SWIOFish Project managers and government to limit access to fisheries resources for certain locations or species. A project description, describing how the decision was reached and what it means in terms of changes in access to resources needs to be developed for consultations with potentially affected communities. In some cases, communities or key stakeholders may have already been consulted informally during preparation work by the team when considering how to design and implement access controls.

At this point affected communities need to be engaged by NIU staff or consultants and District officials, including the DFCCs to raise awareness of the proposed access restrictions. Implementing partners can assist with the organization and facilitation of consultations. The methods of consultation chosen and participation should be in a form appropriate to local needs, and should be sure to include potentially vulnerable populations, including women, youth, elderly and disabled persons.

These consultations would be carried out in multiple sessions as they have multiple goals, including general awareness raising and participatory involvement in determining the scope of access restrictions, eligibility criteria for affected persons, impact assessment and possible mitigation measures:

Considerations that need to be taken in designing consultation or communications activities regarding the PF would include:

- Role of vulnerable groups
- Effective methods for consultation and communications
- Vulnerable groups: may need specific assistance during consultation and communications individual group meetings, e.g. women
- Methods for consultation and communications: consider literacy levels, local language requirements, general access issues
- Type of communities: different levels of awareness, experience with development donors, NGOs

## 7. Conflict/Grievance mechanisms

### Overview

If all the key stakeholders potentially affected by access controls are engaged in discussion of potential impacts and mitigating measures, then the potential for conflict should be reduced. This is particularly true where an entire community is involved in discussing, negotiating, adopting and playing a role in enforcing fishing restrictions, or in implementing alternative livelihoods. Generally speaking the goal of conflict resolution and grievance procedures is to resolve conflicts at the lowest level, closest to the affected parties, in traditional or informal mechanisms, before resorting to escalation to higher authorities and legal remedies.

### Preventative measures

Where participatory and inclusive decision-making and collaborative activities are promoted, the likelihood of conflict is reduced. In addition, it is recommended that conflict management skills should be a key part of training received by District Fisheries Officers, BMU officers and others who will interact with fisher communities. The broader communities should receive awareness-raising and training

concerning their rights and obligations, and how to obtain legal advice and representation if necessary in case where they seek redress. This latter capability including knowledge of how to seek redress in case where communities may seek redress against what they regard as unfair practices by investment partners, such as private investors who engage local communities in construction activities, processing, etc.

### **Grievance and Conflict Redress**

However, inevitably some disagreements or conflicts may occur within a fisher community or between fisher communities, or between fishers and other parties. Decisions to restrict access to marine resources may be made consensually, but some people whose rights to resources may be dissatisfied and want to seek redress for their grievances. Or there may be issues that arise from the way mitigating measures or alternative livelihood schemes are implemented. This may include other types of disagreements that arise during SWIOFish project or subproject implementation that are not necessarily tied to issues concerning restrictions of access to resources or livelihoods.

Generally the guiding principle for conflict or grievance resolution is to resolve the issue quickly and at the lowest possible level, ideally within the local community using commonly-accepted practices. Measures to address conflicts that may arise as a result of project activities can include both formal and informal mechanisms. It is preferable to resolve such complaints at a local level, within existing community-level grievance or compliant mechanisms, and involving community leaders or local authorities.

These local leaders or authorities should provide an audience for aggrieved parties to express their concerns and offer informal resolution solutions. If these measures to do not resolve the issue then an escalating series of more formal approaches, beginning with lodging a verbal or written complaint through the Grievance Committee will be available.

Sufficient time needs to be allotted to ensure participant flexibility to adequately discuss and resolve the issue. The implementing partner can act as an intermediary or facilitator if this is helpful to the process. In some case this mediating role may be needed if decisions are taken that do not have unanimous or equal support for them within the community.

All PAPS should be informed as to how the grievance process works and how to register complaints especially those relating to access to financial resources and technical assistance. The PAPs should also be informed as to the dispute resolution process, including the intent of the Project to resolve disputes in a timely and impartial manner.

### **Scope of the Grievance Mechanism**

The grievance mechanism must be made available to parties who have grievances or who are not satisfied with the process established under the project to address and mitigate impacts arising from restriction of acces to resources or livelihoods. It can also apply to persons, households or communities who have other complaints or disagreements regarding SWIOFish project or subproject activity implementation. These grievances could relate determination of who is a Project Affected Person, Household or Community, what is the accuracy of the assessment of impact, proposed mitigation measures, level of consultation, timing of mitigation process, or other issues or disagreements arising from aspects of project implementation.

## **Grievance Committee**

In order to address grievances, a Grievance Committee will be formed for dealing with any grievances as they arise in target project communities. This will include a representative of the implementing partner supporting the relevant project mitigation schemes, a representative from the BMU (Mainland) or SFC (Zanzibar) or other relevant co-management unit, a representative of the Village Council, as well as a representative of the PAPs. It should also include an independent valuer if the grievance is in relation to compensation amounts. Depending on the nature of the issue, a representative of the SWIOFish Project Implementation Unit may (at his or her discretion) choose to attend and/or participate in the Committee's deliberations.

The grievance procedure will be simple and will be administered as far as possible by the Grievance Committee at the District and Village level.

## **Grievance Mechanism Procedures**

At the beginning of implementation of SWIOFish project and subproject activities in any target community, including but not limited to possible restrictions on access to resources and/or livelihoods, potential PAPs and other community members will be informed about how to register grievances or complaints, including specific concerns about access to resources and potential mitigation measures. The PAPs should also be informed about the dispute resolution process, specifically about how the disputes will be resolved in an impartial and timely manner.

All attempts shall be made to settle grievances amicably. The grievance redress mechanism is designed with the objective of solving disputes at the lowest possible level and earliest possible time, which will be in the interest of all parties concerned and therefore, it implicitly discourages referring such matters to the National level government authorities or National level courts for resolution.

Any form of agreement developed and adopted under the SWIOFish project for use and signature by and between PAPs or other project beneficiaries, SWIOFish project managers, and/or other authorities or entities related to mitigation measures or other project or subproject activities shall be reviewed by the Grievance Committee to determine the extent to which signing parties complied with the terms of the agreement.

The Grievance Committee shall maintain records where grievances and complaints, including minutes of discussions, recommendations and resolutions made, will be recorded.

The procedure for handling grievances should be as follows.

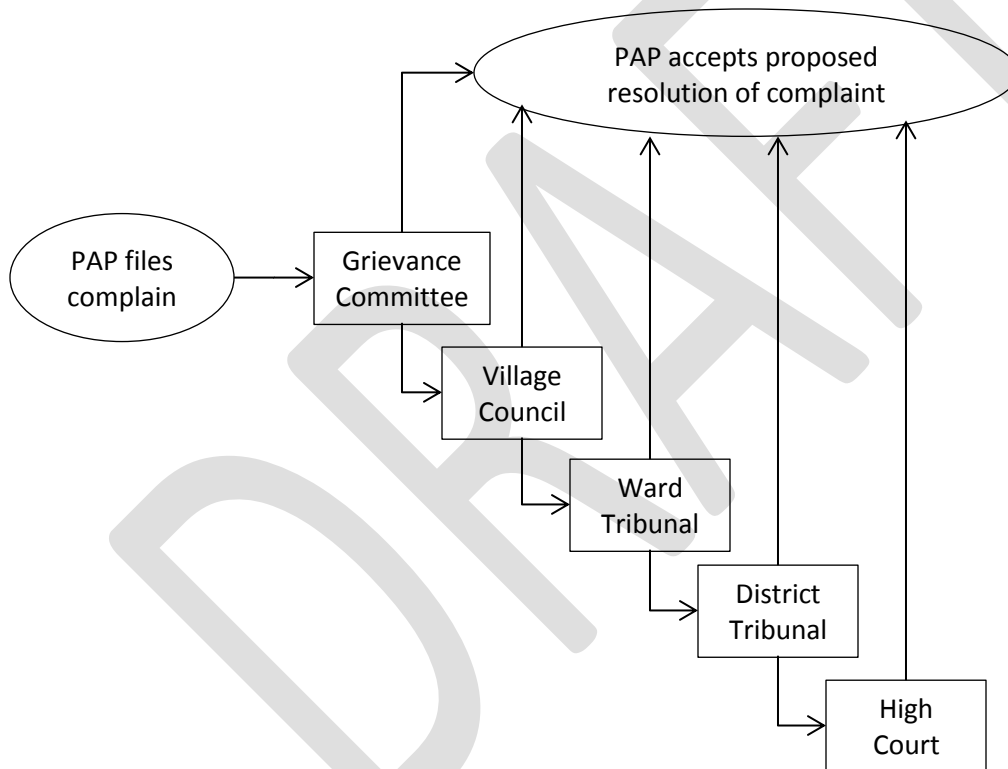
- 1) The affected person should file his grievance in writing, to the Village Leader. The grievance note should be signed and dated by the aggrieved person. Where the affected person is unable to write, he should obtain assistance to write the note and emboss the letter with his/her thumbprint. A sample grievance form is provided in Annex 3.
- 2) The Village Leader should notify the Grievance Committee and respond within 14 days during which any meetings and discussions to be held with the aggrieved person should be conducted. If the grievance relates to valuation of assets, an independent valuer should be requested to revalue the assets, and this may necessitate a longer period of time. In this case, the aggrieved person must be notified by the Village Leader that his/her complaint is being considered.

- 3) If the aggrieved person does not receive a response or is not satisfied with the outcome within the agreed time, s/he may lodge his/her grievance to the District Administration.
- 4) The Grievance Committee will then attempt to resolve the problem (through dialogue and negotiation) within 14 days of the complaint being lodged. If no agreement is reached at this stage, then the complaint can be taken through the formal court process, ie to the Village Council, the Ward Tribunal where relevant, District Tribunal and or appropriate High Court at the National level .

The Grievance Committee will produce a Report containing a summary of all grievances and will make this available to SWIOFish on a quarterly basis. This information also should be made accessible to PAPS and other members of the local community, via Village or District offices, co-management units, etc.

The Grievance Redress process is illustrated in Figure 7.1.

**Figure 7.1: The SWIOFish Project Grievance Process**



Source: Adapted from Road Sector Compensation and Resettlement Guidelines, Ministry of Infrastructure Development, and SAGCOT Resettlement Process Framework.

## 8. Institutional Arrangements for Implementation

### 8.1 Organizational Structure of SWIOFish in Tanzania

The Ministry of Livestock and Fisheries Development (MLFD) in Tanzania mainland, the Ministry of Fisheries and Livestock Development (MFL) in Zanzibar and the Deep Sea Fishing Authority (DSFA) will be the joint lead agencies for SWIOFish in Tanzania and Zanzibar and will have overall responsibility for Project Implementation.

A National Project Steering Committee (NSC) will be made up of the permanent secretaries responsible for fisheries, finance and local administration from mainland Tanzania and Zanzibar, the directors of fisheries, aquaculture/marine resources and the DSFA. The NSC is responsible for:

- Overall policy guidance on all project issues
- Facilitating coordination among agencies, and
- Reviewing and approving annual work plans and budgets (in conjunction with World Bank)

A Secretariat will be provided by the Project Implementation Unit under the supervision of the Director of either mainland or Zanzibar

A Technical Committee is made up of directors of key participating institutions, including DSFA, Fisheries Development, marine Resources/Aquaculture, TAFIRI (Tanzanian Fish Research Institute), FETA, MPRU, local government) as well as private sector representatives (TIFPA, TPSF). This committee will advise on all project operations work plans, budgets and annual progress and performance reports prior to submission to the NSC.

The three Implementing agencies (MLFD, MFD and DSFA) will each have a Project Implementation Unit (PIU) responsible for overall project implementation and administration. Key positions within the PIUs will include project coordinators, financial management specialists, procurement specialists and M&E specialists, The PIUs will be staffed to ensure effective timely execution of project activities. The mainland and Zanzibar PIUs will also have private sector specialist and co-management specialists.

Local government level – District Fisheries Co-Management committees. These committee will facilitate coordination between the District Council, co-management entities (BMUs and VFCs/SHCs) and the Fisheries Development Division/Departments. DFCC Members include BMU chairs within the district, representatives of NGOs to be named by the District Council, manager of Marine park, if there is one within the district, and various ex officio members including the District Executive Director (DED), officio, DFO (also the convener), and other relevant district officials.

SWIOFish activities at the local level will be coordinated by the District Fisheries Officer (DFO) who will be working with a team of officers from collaborating departments. The DFOs are the conveners of the DFCCs.

Within fishing communities themselves the key organizations are the Beach Management Units (BMUs, on mainland) and Shehia Fisherman's' Committees (SHCs, in Zanzibar).

A Joint Fisheries Scientific Working Group (FSWG). The FSWG will conduct fisheries research and provide evidence-based advice in the decision-making process. While this group will not be involved directly in co-management activities, their research will provide species data and other research data that may be used to set and adjust access controls. They may also provide guidance on research protocols for any data collection to be done by local co-management units or other local stakeholders.

Implementing partners, which may be NGOs or consulting firms, will be engaged to work with communities on co-management activities and subprojects, including implementation of Process Framework activities where access restrictions are introduced.

## 8.2 Process Framework Roles and Responsibilities

**Table Proposed Process Framework Roles and Responsibilities**

Level/Type	Organization	Role(s) in Process Framework
National	Ministry of Livestock and Fisheries Development (mainland Tanzania) Ministry of Fisheries and Livestock Development (Zanzibar)	Lead Agencies, overall policy planning and decision-making through Union-level National Steering Committee (NSC) Also Joint Fisheries Scientific Working Group will provide fisheries research data and guidance on where to implement access controls
National	National Implementation Units at MLFD (Tanzania) and MLF (Zanzibar) and DSFA	Overall project implementation responsibilities Determines where/when access controls will be implemented Supports communications and awareness raising of stakeholders on PF Engages/manages consultants or NGOs to carry out socioeconomic surveys, participate in consultation process, develop alternative livelihoods programs
District	District Government, including District Fisheries Co-management Committees (DFCCS) led by District Fisheries Officer (DFO)	Involved in implementing access controls, MCS, other local fisheries management Participate in communications and consultations with affected persons and other stakeholders on PF
Village/Local	Village Council Affected Groups and Individuals	Participates in communications and consultations Help identify impacts and possible mitigation opportunities Participate in grievance resolution consultations
Village/Local	Village Savings & Loan Groups (VSLs)	Provide prioritized credit and financial management technical assistance for affected persons pursuing alternative livelihoods
Local co-management	Beach Management Units (BMUs-Mainland) Shehia Fishermens' Committees (SFCs – Zanzibar)	Assist with MCS for access controls Participate in communications and consultations with affected persons May participate in grievance resolution procedures Participate in PF monitoring activities
Other	Implementing NGOs or other partners	Conduct socioeconomic surveys, facilitate stakeholder communications and consultations, helps identify impacts and mitigation solutions, support implementation of alternative livelihood programs through training and technical assistance

## Process Framework Implementation Process

A summary of steps for implementing the Process Framework include:

- Determination of limiting access to resources for certain location, species, community by SWIOFish project and government.
- Engage community in processes for awareness raising, impact assessment and action planning for mitigation measures.
- Conduct socioeconomic study (project team or implementing partner)
- Determine criteria for eligibility of affected persons (consultative process with affected communities)
- Community and affected persons agree on Action Plans and mitigation measures
- Communicate Action Plans to all stakeholders
- Implement mitigation measures
  - TA and training by implementing partner for affected communities or persons
  - PAPs approach VSL for alternative livelihood development
- Monitoring & Evaluation by project staff, implementing partner, local co-management units
  - Address implementation challenges
- Address any grievances through grievance procedures

## 9. Legal & Administrative Framework

Overall fisheries policies are the responsibility of the Ministry of Livestock and Fisheries Development in mainland Tanzania and the Ministry of Fisheries and Livestock Development (MLF) in Tanzania. The goal of various policies in force are to promote conservation, development and sustainable management of fisheries resources for current and future generations. Laws and regulations pertaining to co-management of fisheries also fall under these ministries.

### Tanzania

Fisheries management in mainland Tanzania is governed by the Fisheries Act of 2003 (No. 22 of 2003), and related Regulations, including those of 2009. They govern the management and enforcement of fishing and aquaculture development and conservation of fish and fish habitat. Other important fisheries legislation includes The Marine Parks and Reserves Act of 1994 and the Tanzanian Fisheries Research Institute Act of 1980.

Tanzanian Environmental Legislation and Policies include the National Environment Policy (1997), the Environment Management Act No 20 (Cap. 191) of 2004 (EMA), and the Environmental Impact Assessment and Audit Regulation (2005) regulations, which governs environmental assessments of projects.

Other regulations and policies which may have a bearing on activities in coastal areas include the Forest Act (2002), National Tourism Policy (1999), Land Act (1999), and Village land Act (1999).

### Zanzibar

In Zanzibar, Fisheries management is governed by the Fisheries Act of 2010, plus a number of acts relating to management of the MCAs, including the Menai Bay Conservation Area (Establishment) Order



of 1997, the Mnemba Island Marine Conservation Area Order of 2002, the Pemba Channel Conservation Area (PECCA) Order of 2005, and draft Marine Conservation Unit Regulations that were under development .

Environmental legislation and policy instruments in Zanzibar include the Environmental Management for Sustainable Development Act (1996) and Regulations, the National Environmental Policy for Zanzibar (1992), and the Establishment of Zanzibar Nature Conservation Areas Management Unit Act (1999), as well as the Forest Resource Management and Conservation Act (1996), and the National Forest Policy for Zanzibar (1995)

Other legislation and policy instruments that can affect activities in coastal areas include the Zanzibar Tourism Policy (2004), and the Land Tenure Act (1992) and Land Tenure (Amendment) Act (2003).

### **Co-Management**

The national policy and legal frameworks include significant references to local co-management schemes whereby some aspects of fisheries management have been decentralized. Local fishing community groups, including Beach management Units (BMUs) on mainland Tanzania and Village Fisheries Committees (VFCs) in Zanzibar, since renamed Shehia Fisherman's Committees (SHCs), have been given responsibility for managing local fishing activities, including issuing licenses, collecting landing fees and making decisions on access to local marine resources.

On mainland Tanzania the Fisheries Policy of 1997 and Fisheries Act no. 22 of 2003 enabled the establishment of Beach Management Units, initially on Lake Victoria but then along the coast in 2006. Coastal BMU creation began as a pilot project in Rufiji, Mafia and Kilwa Districts under MLFD and the MACEMP program, in collaboration with WWF Tanzania's Rufiji-Mafia-Kilwa (RUMAKI) Seascape Programme.

On Zanzibar, the Fisheries Act of (2005) which built on the Fisheries Act no 8 1988, had provisions for co-management that led to the creation of Village Fisheries Committees (VFCs) now being referred to as Shehia Fishermen's Committees (SHCs).

Other fisheries and marine resource policy and planning instruments include:

- A National Fisheries Sector Policy and Strategy has been in place since 2007. The goal of the National Fisheries Policy is to promote conservation, development and sustainable management of fisheries resources for the benefit of present and future generations. A new version of the policy was being finalized in 2013-2014.
- The Fisheries Sector Development Program (FSDP) for the mainland was designed to support the objectives of Tanzania Development Vision 2025 and the National Fisheries Sector Policy within framework of second national poverty reduction strategy: National Strategy for Growth and reduction of Poverty (MKUKUTA II) and CAADP to realize objectives of Tanzania Development Vision 2025 and National Fisheries Sector Policy (NFSP-2010)
- Several plans have been developed to focus on priority species, including
  - Octopus Fisheries Management Plan 2012 (OFMP)
  - Artisanal Pelagic Fishery Management Plan 2013 (APFMP)
  - Prawn Fishery Management Plan 2012 (PFMP)

The species-specific plans are in the early stages of implementation, and they include some access restriction measures. It is assumed that the SWIOFish data-gathering effort on stocks will lead to more access restrictions, although likely to be targeting specific zones or communities rather than blanket national bans.

## 10. Participatory Monitoring and Evaluation Arrangements

One of the intended outcomes of co-management schemes is that the local communities participate in the process of managing their resources. This includes the need and importance of collecting data on their fisheries, as this will help them to set allowable catch levels of any species to be placed under restrictions. They also need to track the evolution of environmental conditions which may impact decisions about access to marine resources. And lastly, for the Process Framework, livelihood restoration for Project Affected Persons needs to be tracked. Local community members play a key role in collaboration with implementing partners, DFOs project staff in collecting this information. These are baseline data, environmental conditions and livelihood restoration.

### Monitoring Roles and Responsibilities

Monitoring of the process framework will be implemented at several levels, by communities, implementing partners and by the project itself. It will operate in parallel with measures designed to do monitoring and evaluation of the project activities and follow-on activities prescribed by the ESMF and included in co-management activities. The Project Team safeguards advisor is responsible for ensuring compliance with safeguards policies that may be triggered by project activities or impacts (such as infrastructure investments that may require an EIA or EMP), and for applying the appropriate instruments or procedures. Community-level monitoring will take place at the BMU/SHC level, with regular reports made to project management. Where access controls have been implemented, BMU/SHC members and other affected community members will be engaged in ongoing monitoring of how mitigation measures and alternative livelihood programs are being administered. VSL members will be responsible for monitoring activities undertaken by their members and should submit regular reports on progress and identifying any issues, including those issues that can and cannot be resolved through normal BMU procedures and member interactions.

### Monitoring of impacts and mitigation measures

#### Baseline information

Baseline information - needs to be established- set and track key indicators for environmental conditions. This may involve training and finding ways to incentivize the local community members who are given this task. This supposed to be a part of the BMU or SHC structure, so it should be in place, and is used by the PF to determine possible impacts and changes in use or access rights. Base line conditions to be studied are those being studied under Component 3 of SWIOFish and would include:

Presumably daily catch or other monitoring of the health of stocks will have been established as a result of the co-management program. This will be combined with data gathering that is occurring under different elements of the SWIOFish program (state of the stocks studies by research institutes, etc.) to identify where and when access control may need to be implemented. If there is concrete evidence, much

of it gathered by communities, of species decline it will be that much easier for communities to agree to catch restrictions

### **Environmental conditions**

Community monitoring of conditions and compliance with co-management agreements and other regulations.

### **Livelihood Restoration**

Project Managers and communities must also monitor the progress of livelihood restoration activities initiated as part of the Process Framework. Both process and outcome measures should be monitored.

Process indicators would cover different stages of the PF livelihood restoration activities. Some monitoring dimensions might include:

#### Process indicators

- Number of training sessions
- Participant attendance
- Participant satisfaction
- Business plan development (number of PAPs successfully developing business plans)
- Loan approval rates
- enterprise establishment

#### Outcome indicators (PAP living standards)

- Enterprise income (gross and net)
- Number of employees
- Family household equipment
- Family income (disaggregated by activity or sources and gender)

## **11. Process Framework Timeline and Budget Components**

### **Timeline**

- This PF assumes that project –imposed access controls may not occur for initial year(s) of project, pending ramping up of other preparatory activities
  - Research on fish stocks and coastal and marine ecosystems
  - Strengthening of governance tools and capacity-building of co-management units and supporting national & local government agencies will be underway
  - General socioeconomic data-gathering may be carried out in some coastal regions likely to be targeted for access controls as part of broader data-gathering effort
- By year 2 or 3, areas or species targeted for access controls identified, initial local PF processes initiated in target communities
- PF process will be refined based on experience in initial communities for rollout in other communities as needed due to later rollout of access controls in other locations

## Budget

A number of the activities that will need to be carried out to adopt the Process Framework are in fact a subset of project activities that will already be underway. For example, the VSL mechanism that community fishers, BMUs, SHCs and private entrepreneurs may need to tap into as part of livelihood restoration will be set up as activities available to all project beneficiaries. Thus costs for providing those services to project affected persons will be a portion of or an add-on to the project budget for those activities.

Much of the preparatory work needed to prepare for implementation of the Process Framework, including research on fish stocks and household incomes, awareness raising and consultation about fisheries management, conflict resolution and grievance procedures may be carried out and share funding with project activities intended to improve overall governance and management of fisheries and awareness-raising and strengthening of co-management and other participatory processes, including conflict resolution that will benefit all beneficiaries.

Budget items that will need to be included in individual process framework budgets include:

- Socioeconomic surveys for areas or communities affected by access controls
- Prioritized access to VSL and other project finance mechanisms for alternative livelihood development activities
  - Credit
  - Training & Technical Assistance (targeted only to PAPs)
- Grievance Resolution
- Monitoring (Baseline, Environmental & Income Restoration)

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World Bank Safeguard Policies.

**Annex 1: List of People Consulted**

	<b>Name</b>	<b>Position</b>	<b>Organization</b>
	Flora Luhanga	Principal Fish Technologist	Ministry of Livestock and Fisheries Development (MLFD), Dar es Salaam, Tanzania
	Ezra Mutagwaba	Sea Fisheries & Fish Quality Inspector	MLFD
	Valeria E. Mushi	Principal Fisheries Officer	MLFD
	Farah Bulongo	Fisheries Officer/MCS	MLFD
	Jovice Mkuchu	Fisheries Officer (QC)	MLFD
	John Mapunda	Fisheries Officer (Aquaculture)	MLFD
	Upendo Hamidu	Fisheries Officer (Co-Management)	MLFD
		Deputy Director Fisheries Development	MLFD
	Ramla T. Omar	Planning Officer	Ministry of Livestock and Fisheries (MLF) Zanzibar
	Haji Shomari Haji	MCS Coordinator	MLF
	Ali S. Mkarafan	Planning	MLF
	Anas M. Othman	MBCA Manager	Menai Bay Conservation Area
	Mkubwa S. Khamis	Planning - Fisheries	MLF
	Mohamed Mohamed	Director – Dept of Marine Resources	MLF
	Zahor Mohamed El Kharousy	Director General	Deep Sea Fishing Authority
	Rachid Hoza	Deputy Director general	Deep Sea Fishing Authority
	Asha Ali Khatib	Licensing Officer	Deep Sea Fishing Authority
	Daniel	Inspector	Deep Sea Fishing Authority
	Sheha Idrissa Hamdan	Director of Dept of Forestry and Non-renewable resources	Ministry of Agriculture and Natural Resources, Zanzibar
	Dr. Amina Ameir Issa	Director, Dept. of Museums and Antiquities	Ministry of Culture
	Dr. Farhat Mbarouk	Head of EIA, Dept of Environment	Vice President's Office, Zanzibar
	Lodewijk Were	Environmental Manager	BG Group
	G. Vedagiri	General Manager-Tanzania Operations	Alpha Group
	Hashim Rune Hjelm	Managing Director	GIMSEA/BIRR

## **Annex 2: SWIOFISH ESA Tanzania Mainland Stakeholder Consultation Field Report**

The report covers environmental and social impacts expected to happen as a result of successful implementation of the SWIOFISH project for few selected sites. The main issues covered are:

- a. Fisheries Governance
- b. Alternative livelihood
- c. Special fisheries issues including Octopus, small and medium pelagic, prawns/lobster and Mangrove planting
- d. Recommendations on how to improve the Project to enhance environmental and social outcomes
- e. Conflicts

### **TANGA MUNICIPAL COUNCIL**

#### **1. Fisheries Governance**

Environmental impact: - The Municipal Director said they are experiencing declining fish production due to destruction of habitats through dynamite fishing, so, if the communities can be educated on fisheries management and the effect of illegal fishing practices, she is expecting more fish in the area.

Social Impact: - She believes the climate variations being experienced now is due to environmental degradation done in the oceans in the past. She reflected on 1982 when she came to Tanga, the climate was good but in 2014 the climate is too bad leading to desert-like conditions in the sea and land. She insisted that the government is using a lot of resources to help communities cope with lack of rain and depletion of resources. She believes the SWIOFISH project in a long run will reverse the situation.

In her remarks, she insisted that she is ready to cooperate with SWIOFISH project to raise awareness in the communities and she is happy that the foundations which the project is going to build will encourage her institution to take over even after phasing out.

### **CHONGOLEANI VILLAGE-TANGA CITY**

#### **a. Fisheries Governance**

All of the participants addressed the trend of their fisheries that there was increase of fishery catch from 2003 to 2008 and decreased catch from 2008 to date; Stock increase was the result of intervention of Tanga Coastal Zone project and stock depletion that they are experiencing today is due to increased illegal fishing activities. The participants agreed that any project which will concentrate in providing education to the communities at large will definitely solve most of the challenges that the communities are experiencing now.

The main challenges from Chongoleani village were:

- Depletion of fish stocks
- Increased dynamite fishing leading to the destruction of habitats
- Fisheries Laws are well planned but no implementation going on today
- No collaboration with Fisheries Officers, MCS and all of the Municipal councils
- Mistrust among the communities and fisheries stakeholders including fisheries officers, MCS, Marine Park Officers etc.



- Increased Migrant fishers to local areas
- Lack of trust of magistrates (give light or no punishment to dynamiters or other illegal fishers)
- Availability of cheap dynamite materials
- Lack of on education on fisheries management and effect of illegal fishing practices
- Lack of funds for daily BMU operations

Community members said that if the SWIOFISH project going to provide education and strengthening the cooperation and communication among stakeholders, the following impacts are expected to happen:

### **Environmental Impacts**

Most of the impacts mentioned were positive including:

#### **Positive**

- Within six months to one year natural habitats will start regenerating which will increase fish availability.
- The project will strengthen the BMUs to provide permits to fishers and inspect the fishing gears from outside and in their respective villages, this will increase security in the fishing grounds and more fishers will access the fishing licenses, thus more revenues to the district and village councils.
- It was realized from this community that, no or very few community members are involved in dynamite fishing, strengthening the local communities and creating a regular forum involving LGAs, MCS, and magistrate through SWIOFISH project will eradicate dynamite fishing.

#### **Negative**

- Many fishers have changed to octopus fishing due to depletion of finfish. When finfish will be available all fishers will go back to fin fishing which will cause more pressure on the fisheries resources

### **Social Impacts**

#### **Positive**

- Increasing fish availability means increasing individual fishers income, and employment in fishing industry especially fish processors, middlemen and food vendors
- LGAs and communities will have good cooperation's thus implementation of joint patrols

#### **b. Alternative livelihoods**

When discussing alternative livelihood, Chongoleani participants advised bee keeping as it was one of the most successful project. Aquaculture (Milkfish) failed due to lack of education on the availability of fingerlings and even when available, how to carry them was a challenge as majority died on the way. Salt production and farming including Cassava, groundnuts, maize, beans and rice were among the successful projects during Tanga Coastal zone project.

#### **c. Special fisheries issues** included in Chongoleani: fishing for Octopus, small and medium pelagic, and prawns/lobster and have done Mangrove planting

- Chongoleani village have a very high potential for Octopus, so any measure which will be introduced in managing this fishery will definitely produce a high quality fishery product and in

large quantity. This was learned during the visit as majority of fishers have shifted from finfish to octopus.

- Small and medium pelagic fishes are also available though in small quantity due to increasing illegal fishing practices
- Chongoleani community have planted 300 Hectares out of 350 Hectares during Tanga Coastal zone project, this has created more habitats for prawn fishery and hung 55 bee hives which created a lot of income. This should be a kind of activities SWIOFISH should concentrate on

**d. Recommendations as to how to improve the Project** to enhance environmental and social outcomes

- SWIOFISH project should concentrate on the lessons learned from Tanga Coastal Zone project in order not to repeat the mistakes done by them and strengthen the positive impacts which have now disappeared after phasing out of the Tanga Coastal Zone project
- SWIOFISH should invest more on provide education and awareness raising to the whole community as this has shown positive results in both environmental and social impacts during Tanga Coastal zone. What was lacking was the sustainability of the BMUs after the phasing out of the project
- District/Municipal councils should be educated on how to continue supporting the BMUs after phasing out of the project
- SWIOFISH project should lobby the LGAs to establish long term sustainability strategies to ensure that BMUs will have support even after phasing out of the project. The strategies may include financial sustainability through channeling some funds via village councils or setting a certain % from fisheries revenues for empowering BMUs or giving tender to BMUs so that they can reserve some % for their day to day operations
- Closed areas have been viewed as the beginning of identifying Marine parks so during SWIOFISH project implementation, one should be careful on how to mobilize the introduction of closed areas or replenishment zones
- In order for the incoming project to be successful, strengthening the cooperation between District authorities, Village governments and BMUs is a must.
- Performing joint patrols involving DFOs, MCS and BMUs, regular follow-ups in all levels and implementing the project in a participatory manner is what will make positive impacts in SWIOFISH project.

**e. Conflict**

- Communities are quite unhappy with the fisheries officers as they visit them when there is project or visitors but not for empowering communities.
- Patrol activity during Tanga Coastal Zone was through cooperation i.e. planning and implementing together, now it is planned by district authorities. Communities want to be trusted and involved in everything going on with their resources. MCS, Marine Parks and Fisheries officers are performing patrols without involving communities so instead of communities collaborating with them they have become competitors. According to the communities, all of the patrols done without involving them have been not productive at all. This is because the communities know more about what is going on in their area than anybody. Fisheries and MCS officers are leading BMUs but BMUs want cooperation not to be led.
- Introduction of closed areas in Tanga has been a challenge due to fear of introducing of marine parks.
- Communities are upset at migrant fishers because some of the residence fishers are using traps as their fishing method, when migrant fishers come to their area they use beach seine nets which swap everything including the traps. The same applies to closed areas, communities have decided

to close area but when migrant fishers come they fish everywhere, this has continued to cause conflict between migrant and local fishers.

- Communities are quite unhappy with magistrate and have given up on sending the culprits to the court; they have decided to let the illegal fishers continue destroying their resources because they feel there is no justice in judging court cases.
- Communities in Chongoleani are thinking that LGAs are doing patrols for their own benefits and not for the sake of managing fisheries resources. For example when BMUs manage to catch a vessel for illegal fishers the DFO or MCS officers responsible used to sell the vessel illegally, and the illegal fisher may come back to the community and threaten the BMUs

### **Tanga visit to MPA – Modest Kiwia**

#### a. Governance

- SWIOFISH project seems to be more participatory than the MPA, the skills to be gained as a result of project interventions will strengthen governance to the communities. The communities will have better planning skills which will encourage bottom up decision making; this will further strengthen cooperation with other stakeholders including marine Parks. Joint patrols and other communal activities will increase including mangrove planting leading to a stable implementation structures.
- SWIOFISH will work with at least 2/3 of the communities in the respective villages/streets; this will make more understanding of the project to the communities than Marine parks which involve 8-9 community members. The project
- Communities are more contented to work with SWIOFISH model than Marine parks because of the participatory nature of the project.
- The planned trainings and meetings of the project will strengthen cooperation within the institutions

### **Environmental impacts**

#### POSITIVE:

- Marine parks feel that SWIOFISH project intervention will enhance protection of their reserved areas since their neighborhood will have conservation ideas, thus no much destruction on their side.
- Implementation of project activities is expected to cause decrease of illegal fishing practices in nearby villages that have BMUs which will cause regenerate their resources with time and a quick recovery of their habitats

### **Social Impacts**

#### POSITIVE:

- Regeneration of resources means more catch, more income and increased employments.

#### **Conflicts**

- SWIOFISH project is expecting to involve majority of the community and will have at least 12 meetings per year compared to communities in Marine parks who are having 3 meetings per year. This is likely to cause a conflict between the Village liaison committees (VLCs) in Marine parks as they are not so much involved.

- Planning and decision making in the MPAs does not involve communities and therefore communities have rejected to join their patrols and decided to have their own thus no cooperation in implementation within the MPAs

### **Shangani East Street - Mtwara Municipal**

#### **a. Fisheries Governance**

Implementation of the SWIOFISH project will improve governance of the district and the communities which will control access of the resources through BMUs, increase fishing techniques, improve fish stocks and prevent Post-harvest losses. The Fisheries officer argued that if the project is going to solve the following challenges, it is going to cause more positive impacts. The challenges mentioned here were:

- The BMUs were not properly established because they are all not complying with the one stipulated in the BMUs guidelines, therefore most of the BMU members are not fisheries stakeholders. Majority are not permanent residence of Mtwara town, they are migrant fishers and higher officials including a Regional Commissioner
- Management plans established by MACEMP were lacking important implementation techniques and equipment
- There were no detailed trainings provided by MACEMP to help the communities manage the resources
- Only three BMUs out of twenty seven tried to register and have authority over the resources.
- Long processes and bureaucracy in registration of BMUs
- There were too many group members in one group of livelihood during MACEMP project which causes conflicts and the collapse of the activities
- Fishers who were supposed to be targeted group during MACEMP project were not given the alternative livelihood projects
- Fishermen have no habit of attending meetings so during BMU awareness meetings most of the people registered in shangani East (where the big town market is located) were middlemen and food vendors, so even livelihood funds were provided to food vendors and middlemen.
- BMUs were not given the patrol equipment, important tools in guarding the resources.
- BMUs were established but were not strengthened, so until now they are confused since they do not know what to do.
- High government officials are part of dynamiters in the town
- MACEMMP project had so many promises that were not fulfilled
- The MLDF were holding everything and there was no involvement with DFOs, knowing that DFOs were the closest person to the communities but were not well informed.

#### **b. Alternative livelihood**

Introduction of alternative livelihood to the fishers will definitely reduce the fishing pressure thus regeneration of fishing habitats, increased fish stocks which will contribute to the individual fishers income

- Special fisheries issues** including Octopus, small and medium pelagic, prawns/lobster and Mangrove planting
  - The main fishery here is small and medium pelagic
- Recommendations as to how to improve the Project** to enhance environmental and social outcomes:

- If the Director of fisheries is the registrar of BMUs, he could delegate registration to the regional and district offices to fasten the registration process as it is hindering BMUs not to get tender from their respective district or village governments.
- BMU guidelines should be revised and avoid higher officials especially in municipals
- SWIOFISH project should think on better way to involve migrant fishers who have stayed in an area for more than 10 years
- SWIOFISH project should avoid proposing a kind of livelihood project to the communities. The proposal should come from communities themselves.
- Successful livelihood group should avoid too many members in one group
- The project should target in giving alternative livelihood to fishers only.
- When establishing BMUs in the town, one should make sure that the members belongs to the said street, otherwise most of the fisher in the town are not from the same street, the town is like a market and not a village.

**e. Conflicts**

- Migrant fishers in Mtwara have stayed in Shangani East for a long time and they feel that they are been isolated from BMU but BMU is their right even if they are not the permanent member
- Dynamite materials are practiced near the regional and district offices but nobody is caring. Communities are tired of dynamite but do not know how to get rid of it.

**Kilwa Kivinje – Kilwa District**

**a. Fisheries Governance**

- Kivinje communities are experiencing declining of fish stock due to beach seining, poisoning, dynamiting and the use of spear which kills fish eggs and juveniles. Due to declining of the fish catch, they have decided to establish a BMU and if empowered they are sure that their resources are going to recover and they will gain more and more economically. The impact of the project is going to be more positive as it is going to reverse their situation.

**Environmental impacts**

- Implementation of SWIOFISH project will contribute on the regeneration of habitats resulting into increasing catch and increasing income

**a. Alternative livelihood**

Introduction of MACEMP livelihood options did not consult village leaders who know the behavior of everyone in the village as a result there were no follow-ups and the projects collapsed.

**b. Special fisheries issues** including Octopus, small and medium pelagic, prawns/lobster and Mangrove planting

- Small and medium pelagic, Octopus and prawns are the main fisheries in Kivinje

**c. Recommendations as to how to improve the Project** to enhance environmental and social outcomes;

- Before introducing any project to the communities, enough education on the matter should be provided
- Any project to be introduced in the communities should consult village leaders, this will ensure enough follow-ups.
- Alternative livelihoods should target fishermen only

**d. Conflicts**

- Communities are mixing co-management with politics
- Communities do not like closed areas as it is viewed as a marine reserve.

**Somanga Village – Kilwa District****a. Fisheries Governance**

- Increased education by the project will reduce most of the resource use conflicts
- BMUs will control access and inspect gears so community's expectations here are very high as this will reduce the number of fishers qualifying to access the resources. As a result high availability of fish resulting into high revenue collection to the village and district authorities as well as individual fisher's income.
- When BMU is properly working migrant fishers does not stay. If the BMU is not working the number of migrant fishers increases. The project will contribute to decreasing the number of fishers

**b. Alternative livelihood**

- Livelihood options are good at keeping people busy out of fishing

**c. Special fisheries issues** including Octopus, small and medium pelagic, prawns/lobster and Mangrove planting

- Small and medium pelagic, Octopus, Lobsters and prawns are available

**d. Recommendations as to how to improve the Project** to enhance environmental and social outcomes;

- Livelihood options if related to the fishing gears should be introduced by the right people who have knowledge in fishing
- Any livelihood activity to be introduced should be given a proper time and research before introducing. The group should professionally be trained depending on the type of project they want.
- Political leaders should be part of the teams during public awareness.

**e. Conflicts**

- Lack of cooperation and communications between BMUs and LGAs
- Lack of feedback from fisheries officers to Village government leaders
- Lack of joint awareness raising on all levels
- Lack of cooperation with political leaders
- Introduction of closed areas are perceived as Marine parks

**Jaja Village – Rufiji District****a. Fisheries Governance**

- Challenges
  - Low income of fishers encouraging them to practice illegal fishing
  - No capital for buying better fishing gear
  - High availability of fish in the reef areas but poor fishing vessels to reach the reefs
  - Dynamite fishing practices
  - Availability and cheap dynamite materials

- Lack of transport as Rufiji Delta area is located in a very remote area
- High availability of prawns but lacks reliable prawn market,
- Lack of storage and preservation materials as they get spoiled during high season which is December to April each year.

**b. Alternative livelihood**

- Groups should be encouraged to invest their own money instead of been given free of charge, this is aiming at causing community ownership than those provide without communities contribution

**c. Special fisheries issues** including Octopus, small and medium pelagic, prawns/lobster and Mangrove planting

**d. Recommendations as to how to improve the Project** to enhance environmental and social outcomes;

- MACEMP project provided the fishing gears that were different from the type of fishing available in the area.
- More follow-ups should be done at the community levels
- Enough education should be provided to the communities before implementation of any project
- The project should assist in introducing specific landing sites for easy inspection of fishers, fish, revenues and data collections

**e. Conflicts**

- When closed areas are selected without public awareness and agreements

**Table 1: Mainland Tanzania Stakeholder Consultation Participants**

S/N	Name of Interviewee	Title	Institution
1	Juliana Malange	Municipal Director	Tanga City
2	Mr. Omary Kombo	BMU Member	Chongoleani Village
3	Mr Jumbe Mbukuzi	BMU Secretary	Chongoleani Village
4	Mrs Akida Sharifu	BMU member	Chongoleani Village
5	Mr Mbwana Dondo	Fisherman	Chongoleani Village
6	Mr Raphael Mginwa	Fisherman	Chongoleani Village
7	Mr. Hasan Licholonjo	Municipal Fisheries Officer	Mtwara Municipal Council
8	Mr. Charles Haule	Street Chairperson	Shangani East
9	Mr. Sheha Shamte	Fisherman	Shangani East
10	Ms. Mwanahamisi Mshuti	VLC member	Msimbati Village
11	Mr. Shabani M Ngwele	VLC member	Msimbati village
12	Ms Asha A. Mnengo	VLC member	Msimbati Village
13	Mr.Salim Chingala	VEO	Msimbati Village
14	Mr. Fikiri Moja	VEO	Mtandi Village
15	Mr. Oga Dad	DFO	Mtwara Rural
15	Mr Mohamed Manazir	BMU chair	Mgao village
16	Mr. Issa Mfaume Issa	Fisherman	Mgao villae
17	Mr Jamaldin	Fisherman	Mgao village
18	Mr Mussa seleman	Village chair	Mgao village
19	Mr. Onesmo mashimba	Fisheries Officer	Somanga
20	Mr. Hamza Said	VEO	Magengeni –Kivinje

<b>S/N</b>	<b>Name of Interviewee</b>	<b>Title</b>	<b>Institution</b>
21	Mr. Said Chande	BMU Secretary	Somanga Village
22	Mr. Omary Bakari Nguyu	A chair of patrol Unit	Somanga village
23	Mr Jaffar Ngaima	Village Chair	Jaja Village
24	Mr Omary Kigumi	Fisherman	Jaja Village

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## Annex 3 – SWIOFish ESA – Zanzibar Stakeholder Consultations Field Report

### 1. Introduction

This part of the report presents the likely environmental and social impacts that may arise as a result of the implementation of the SWIOFish program. The report presents the following issues:

- Social and environmental impacts related to making fisheries sustainable
- Other activities that fishers could or would want to do if fishing is limited
- Potential conflicts among stakeholders and their resolution mechanisms
- The potential of implementing Village Cooperative Banks (VICOBA) in Zanzibar

The information regarding the above issues was collected through consultations with relevant stakeholders (Table 1) including; some members from 5 Shehia Fishermen Committees (SFCs), individual fishers from both Unguja and Pemba, and staffs from Pemba Channel Conservation Area (PECCA) and staff from the Department of Fisheries Development in Pemba.

### 2. Findings

#### Possible Environmental and Social Issues as a result of the project

According to the nature of the activities under the SWIOfish project it is anticipated to have more positive impacts than negative ones. During the field work it was found that the negative impacts are likely to happen when the access to fishing will be limited through implementation of fisheries management measures. For instance, when seasonal closures will be set in some productive reefs in a specified period of time, at the start the livelihood of the fishers will be at a stake. On the other hand, during the opening period fishers may overfish such reefs and destroy the habitats. However, if closures will properly be designed the habitats may become over flourished with fishes accompanied with healthy habitats hence increased community livelihoods.

Other people interviewed especially SFC members from Fumba Shehia insisted that when there will be limited access to fishing there will be very little negative impact to fishers. This is because, traditionally fishers in the Fumba organized themselves for closures and opening periods, also they used habitat-friendly fishing gears that catches only big fishes. This is one of the reasons that led to the formation of Menay Bay Marine Conservation Area (MBCA), whereby Fumba is one of the Shehia within the MBCA. They went further on illustrating current examples of local arrangements initiated by the community that in 2011 some communities in MBCA such as Kikungwi, Bungi and Kibondeni decided themselves to close one of the productive reefs called reef *Uchaza*. Nevertheless, that local arrangement collapsed after few months because of the absence of monitoring. This exemplifies the possibility of implementing local management arrangements initiatives in Zanzibar waters that may have a positive impact to the local livelihoods. However, this gives a picture that if any management initiative is established, effecting monitoring is very important.

Almost all stakeholders interviewed insisted that positive impacts may transpire if community patrols in marine managed areas through SFCs is strengthened. They added that to make community patrols stronger, fishers that fish on the same fishing grounds (e.g 3 - 5 Shehias) should be united and provided with patrol boats (fully equipped) to enforce fisheries laws and bylaws in their areas. Also the District SFC chairs should have at least motorcycles, while SFC Chairs should be provided with mobile phones for easy of communication and reporting of illegal cases in their areas of jurisdiction to the District SFC Chairs for further actions. Also, awareness training on the impacts of illegal fishing should frequently be given to fishers.

#### What fishers could or would want to do if fishing is limited

Apart from strengthening of community patrol, the interviewed stakeholders recommended a livelihood boost to those that may be affected by the interventions. Almost all said fishers especially small fishers (those who use small vessels without engines and small gears) who fish around near shore areas (where many productive reefs and seagrasses are found) where certain fishing areas might be proposed for closures (either seasonally or permanently) should be assisted. The following interventions/activities were proposed;

- Alternative livelihood activities should be provided to the ones targeted who are fishers, not other groups as was the case with the phased out-MACEMP project. They are complaining that during the MACEMP time alternative livelihood activities were provided to other groups, not real fishers. Activities to be provided should be researched to see if they fit in the area (suitability and profitability) and should be the ones that the communities have chosen not just given. For instance, in those areas where agriculture is possible fishers should be assisted in the improvement of agricultural practices with the supply of farm implements including establishment of irrigation infrastructure etc., and the like for other activities.
- Local fishers should be assisted in fishing in deep sea by being provided with appropriate fishing equipment, this was a very important point mentioned by all. They said fishers should be assisted with modern fishing gears and vessels to fish in deep sea. Again, they insisted on being given what they want not just be given. Of course technical expertise and trainings should be considered. They added that vessels should be installed with freezers and radio calls because in far areas there is no access to mobile phones and they may spend many days offshore. Market infrastructure such as market buildings with various fish processing facilities like fish driers and freezers should be in place to avoid post-harvest losses that may lead to unprofitable business. It was also observed that almost all fishers who are fishing with big boats and machine do not own those fishing equipment, they are owned by rich people. One caution is that before local fishers are capacitated in carrying out deep sea fishery deep sea a study on carrying capacity should be done to avoid overcrowding and overfishing.
- Fishers should be capacitated on eco-tourism activities. It was noted that boat tourism activity for tourists to various sea sites is a feasible livelihood activity to fishers. Many fishers/SFC interviewed suggests that there should be restriction for some activities not to be conducted by foreign investors or tour operators from Stone Town/outside the village where tourism is being conducted. Local arrangements may be done to authorize local fishers (provided with appropriate equipment) to do the activity. Fishers from Kizingo Shehia (Town District in Unguja) suggested to be given authority to manage some islands around their areas which are frequently visited by tourists. At the same time they can ferry tourists to and from the island so as to increase their income. On the other hand, the Fisheries Officers from Pemba said that studies should be carried out to see the possibility of establishing dolphin tourism and turtle watch at some areas in Pemba such as Misali, Fundo and Matumbini because those species are also found in those areas.
- Small businesses were also mentioned as alternative to fishing. These businesses are those involving travel to town or to the mainland Tanzania and bringing back some goods which are in scarce in the villages. For instance, at Bumbwini Shehia they said fruit business like mangoes from Town to the village pays. These businesses may keep fishers busy when there will be closing seasons in some areas.

### **Potential conflicts among stakeholders**

A number of conflicts related to fisheries have been listed. However, many conflicts are the results of illegal fishing practices in the areas. The list of conflicts mentioned by fishers/SFCs and staffs from PECCA and Fisheries Development in Pemba are between:

- Seine net fishing and basket trap fishery. Fishers/SFCs reported that during their operations seine nets drift basket traps and destroys them.
- Small pelagic fishery (using ring-nets) and large pelagic fishery (using gillnets). Even if the 2 fishing practices are legal, fishers that fish for the large fish, especially those using gillnets, are

complaining to those fishing sardines using ring-net (light fishery) that when they fish for small fish, big fish are chased away. However, their complaint has reached the government people and now they are thinking on the best way to reduce this misunderstanding.

- Illegal fishers who fish at night on prohibited areas against legal fishers/SFCs. This is a common conflict in many areas where some marine areas have been set aside for conservation purpose. Illegal fishers come during the night and fish in those prohibited areas.
- Ships versus fishers. This was especially reported in Pemba, that large ships (for research, passengers or luggage) are destroying/cuts their fishing gears (nets) when set in the deep water. Fishers reported that when they place their gears they put buoys/marks but it seems many ship captains are not aware of the signs or they just ignore the signs.
- Seaweed farmers and fishers. This happens when fishers pass their vessels on seaweed farms. By doing so they cut the ropes and destroy the seaweed.
- Diving for octopus and basket trap fishery. There are some instances where divers steal fish from the basket traps. Although, this was mentioned not to be very common.
- Tourist operators/tourists versus fishers. There is misunderstanding on where should the tourists dive and where should the fishers fish. Although there are set areas for the two activities, it seems most of them are not aware of the demarcation because there are no indication or marks set on sites.

### **Conflict resolution mechanisms**

It was reported that the conflict resolution starts at the local level through SFCs, fishers at first report their cases/issues to their SFCs then the case may proceed upward when the resolution failed at the low levels. It was observed that when the SFCs fails to resolve then the issue goes to the SFCs at the District level, to the Department of Fisheries Development, and to the District Authority. However, it was observed that the modes of conflict resolutions depends on the nature of conflict happened.

It was indicated that procedures for conflict resolutions are very participatory and it is the bottom-up approach. This means they starts from SFC at Shehia level and that not only SFCs are participation in resolving the issues but Shehia leaders, Marine Conservation Areas (MCA) officers and Fisheries Department staffs are also participating. Village elders are also been involved especially at the Shehia level.

This bottom-up approach seems to work well in the villages because the communities are very homogeneous and are related to each other. Therefore many conflicts especially those involving people from the same Shehia end up at the Shehia level. The hard to resolve conflicts mentioned are those between different shehias.

Examples of conflict resolutions reported in the study sites are as follows:

- When nets from Wete Shehia fishers in Pemba were destroyed by the luggage ship which was passing at offshore waters, fishers recorded the ship number and reported the case to their SFC which then took the case to the Fisheries Development Department. The Fisheries Development Department communicated with the Port authority on the issue. The Port authority communicated with the Ship owner and finally fishers were compensated.
- It also happened that tourists reported a case to their tour operator on the issue of seeing fishers fishing on areas where they were diving. The tour operator then reported the issue to the Department of Fisheries Development. After investigation it was seen that the area under the issue was a fishing area, therefore the Fisheries Department gave feedback to the tour operator that the area was right for fishers to fish.

### Savings and Credit Cooperatives in Zanzibar

It was observed that there are savings and credit cooperatives in almost in all Shehias in Zanzibar. It was also reported that the Department of Cooperative provides trainings to the unions. It was found that these unions are not solely for fishers but for the entire community in general, that anyone within the community may become a member of a certain group. However, it was found that they are mostly dominated by women.

Fishers/SFCs reported that some fishers are members in those unions and some have joined through their wives. They also said that few men participating in the unions is due to the frequency of meetings that members are required to attend (mostly every week), they said they have no time to report to the groups every week. Others thought that these groups are for women and feel shy to join them.

However, it was noticed that fishers are very much willing to have their own savings and credit cooperatives but awareness and various trainings is needed.

**Table 1: Zanzibar Stakeholder Consultation Participants**

	Name	Title	Shehia/Island
1	Mohammed Suleiman	SFC Chair	Fumba, Unguja
2	Issa Saidi Mwadini	SFC Member	Fumba, Unguja
3	Bakari Ahmada	SFC Member	Fumba, Unguja
4	Ali Kheri Khamis	SFC Chair	Bumbwini Misufini, Unguja
5	Mtwana Khamis Vuai	SFC Secretary	Bumbwini Misufini, Unguja
6	Muslih Khamis	SFC Member	Bumbwini Misufini, Unguja
7	Kibabe Makame Hadila	SFC Chair	Nungwi, Unguja
8	Ali Makame Madaha	SFC Secretary	Nungwi, Unguja
9	Juma Haji Khamis	SFC Member	Nungwi, Unguja
10	Wasaa Shaa Husein	SFC Chair	Kizingo, Unguja
11	Masoud Nasor	SFC Secretary	Kizingo, Unguja
12	Suleiman Ali Khamis	Fisherman	Kizingo, Unguja
13	Mohammed Kombo	SFC Chair	Wete, Pemba
14	Iddi Nassor	Fisherman	Fundo, Pemba
15	Jecha Kombo	Fisherman	Fundo, Pemba
16	Mussa Khamis Mussa	Fisherman	Chokocho, Pemba
17	Yasin Dadi	Fisherman	Chokocho, Pemba
18	Omar Salum Mohammed	Fisherman	Chokocho, Pemba
19	Ali Mohammed	Fisherman	Chokocho, Pemba
20	Said Mohammed Salim	SFC Chair	Wesha, Pemba
21	Khalfan Omari Kombo	SFC Member	Wesha, Pemba
22	Othman Idi Khamis	SFC District Chair	ChakeChake, Pemba
23	Hakim Salim Omar	SFC Secretary	Wesha
24	Sharif Mohammed	Manager/Head FD	PECCA/FD, Pemba
25	Omari Makame	PECCA officer	PECCA, Pemba
26	Aisha Bakari	Artisanal Fishery	Department (FD), Pemba
27	Khalfan Amour	Planning Officer	FD, Pemba

**SWIOFISH PROCESS FRAMEWORK  
ANNEX 4: SAMPLE TABLE GRIEVANCE AND RESOLUTION FORM**

**Name (Filer of Complaint):** \_\_\_\_\_  
**ID Number:** \_\_\_\_\_ (Project Affected Person’s ID number)  
**Contact Information :** \_\_\_\_\_ (Village)  
 \_\_\_\_\_ (Mobile Phone)

**Nature of Grievance or Complaint:**  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

<u>Date</u>	<u>Individuals Contacted</u>	<u>Summary of Discussion</u>
_____	_____	_____

Signature \_\_\_\_\_ Date: \_\_\_\_\_

Signed (Filer of Complaint): \_\_\_\_\_

Name of Person Filing Complaint : \_\_\_\_\_ ( if different from Filer)  
 Position or Relationship to Filer: \_\_\_\_\_

**Review/Resolution**

Date of Conciliation Session: \_\_\_\_\_  
 Was Filer Present? : Yes No  
 Was field verification of complaint conducted? Yes No  
 Findings of field investigation:  
 \_\_\_\_\_  
 \_\_\_\_\_

**Summary of Conciliation Session**

**Discussion:** \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

Issues \_\_\_\_\_

Was agreement reached on the issues? Yes No

If agreement was reached, detail the agreement below:  
 If agreement was not reached, specify the points of disagreement below:  
 \_\_\_\_\_  
 \_\_\_\_\_

Signed (Conciliator): \_\_\_\_\_ Signed (Filer): \_\_\_\_\_

Signed: \_\_\_\_\_  
 Independent Observer

Date: \_\_\_\_\_