

Environment & Social Framework for IPF Operations

Good Practice Note

Managing the Risks of Projects Involving Protected and Conserved Areas

Annex VIII

The following annex is part of the GPN on Managing the Risks of Projects Involving Protected and Conserved Areas. For ease of use, it will be uploaded as a separate file and will have links provided to it in the full text of the GPN, which will also be available online at the following URL:

<https://thedocs.worldbank.org/en/doc/345f6737b55b565433d838862b5d56f9-0290012026/original/pca-gpn-with-annexes-i-iii.pdf>

Annex VIII. Indicative Terms of Reference for Preparation of a Process Framework for Projects Involving PCAs

The following annex is part of the Good Practice Note on Managing the Risks of Projects Involving Protected and Conserved Areas, which is accessible at the following URL:

<https://thedocs.worldbank.org/en/doc/345f6737b55b565433d838862b5d56f9-0290012026/original/pca-gpn-with-annexes-i-iii.pdf>

Introduction

1. These indicative Terms of Reference (ToRs) provide guidance for the preparation of a Process Framework (PF) for a project that is expected to restrict access to resources in Protected or Conserved Areas (PCAs) by imposing new rules or strengthening the enforcement of existing ones. It reflects and elaborates on Environmental and Social Standard (ESS) 5, Annex 1, which sets out the objectives and contents of a PF, which typically include defining rights of access to PCA resources and measures to mitigate harmful impacts of new or strengthened access restrictions. The ToRs can be applied to projects involving terrestrial or marine PCAs and may also be useful for other types of conservation projects that make room for a participatory process to determine access restrictions and mitigation measures.
2. A PF sets out an iterative, participatory process of good faith negotiation, planning, implementation, and monitoring/reporting on implementation and outcomes. It may also include indicative actions or menus of options, for example, criteria for identifying project-affected persons (PAPs), rules for use of PCA resources, community involvement in PCA management, or measures to mitigate adverse livelihood impacts related to new access restrictions. These options are expected to be refined or revised by the parties to the PF during implementation. The ToRs also address preparation of a PF under challenging circumstances, such as projects involving multiple PCAs; a very large, widespread, and/or diverse set of PAPs and stakeholders; the presence of Indigenous Peoples, Sub-Saharan African Historically Underserved Traditional Local Communities (IPs/SSAHUTLCs); a history of conflict between PAPs and PCA management authorities; the presence of criminal activity in the use of PCA resources, etc.
3. The PF should identify any aspects of PCA management that are considered to be potentially non-negotiable, for example, due to applicable laws. Such aspects would fall outside the scope of the PF but might be open for negotiation or resolution at a different level. The PF should set out a process for developing, approving, and updating/adjusting an action plan for achieving its objectives, including: a continuous and reliable communication and conflict management process, agreed access restrictions and resource use, mitigation measures to address adverse impacts, timeframes, budgets, and roles and responsibilities for implementing the process itself and the resulting agreements and mitigation actions. This resource management and mitigation action plan may be free-standing or integrated into other plans such as a PCA management plan, natural resource use agreement, or a Livelihood Restoration Plan (LRP).
4. The nature and complexity of the PF and the resources allocated to implement it should be proportionate to the potential scale and severity of impacts on PAPs and should take into consideration the institutional and communal structures for implementation. This would include, for example, evaluating each party's mandate and legitimacy, commitment, culture, capability, and the resources available for making decisions on aspects such as PCA management and allocation of benefits. These indicative ToRs include some supporting analyses for this purpose, including identification of gaps or shortfalls and proposed capacity-strengthening measures.
5. Because preparation of the PF is the first step in an iterative, participatory process, the Objectives and Methodology sections of these indicative ToRs reflect the participation of key stakeholders in the preparation of the PF itself.

Scope of Work

I. Objective of the Assignment

6. The objective of the assignment is to prepare a PF for a World Bank–supported project that may impose access restrictions on natural resources in legally designated parks and protected areas (PCAs) or other common property resources on which people may depend for livelihood purposes (see ESS5, paragraph 21(d) and Annex 1, paragraph 32). The overall objective of the PF is to identify relevant PAPs and other stakeholders, and to engage them in decisions involving PCA resource restrictions and in the design, preparation, implementation, monitoring, and adjustment of project components and activities.

7. The main elements of a PF are described in Section III below, and a proposed outline is provided in an appendix to these ToRs. The PF represents an iterative negotiation process (throughout the preparation and implementation of the project), whose results are captured in an operational action plan.

8. Both the preparation of the PF and its implementation are intended to involve inclusive and socio-culturally sensitive participatory processes, mainly involving the people who are expected to be affected by the access restrictions (PAPs) and the authorities and entities responsible for PCA management and enforcement. Some other stakeholders might also participate in PF preparation and implementation if they are actively, even if less directly, involved in PCA utilization and/or management. This could include, for example, user groups whose livelihood is indirectly linked to PCA resources, government departments responsible for management of water or other non-living resources within the PCA, or nongovernmental organizations/civil society organizations (NGOs/CSOs) with an active presence in the area, supporting PCA management or local community development. While these stakeholders would not be considered PAPs (e.g., for purposes of receiving livelihood assistance) they could have important perspectives and/or roles in implementing or supporting aspects of the PF—both in terms of the process to determine access restrictions and associated mitigation measures and in the implementation of the action plan.

9. In addition to preparation of the PF itself, the assignment includes undertaking stakeholder mapping and carrying out and reporting on several supporting analyses that aim to help ensure the implementability and effectiveness of the PF and the achievement of its objectives.

II. Methodology for Preparing the Process Framework

10. The main approach and key steps for PF preparation include:

- (a) Review the available information regarding the project’s environmental and social context, background/history (including current and any legacy environmental or social issues); including the Bank and Borrower’s assessment of the enabling conditions for preparation of a PF;¹

¹ Per paragraph 34 of the GPN on Managing the Risks of Projects Involving Protected and Conserved Areas, to determine whether the enabling conditions for a PF are present, the Bank and Borrower consider the following factors, informed by the social assessment: (i) whether PCA management options that maintain, improve, or restore livelihoods can be consistent with conservation objectives, in light of the resources available within the PCA and related areas and the number and nature of stakeholders in the area; (ii) whether the Borrower has the technical capacity, regulatory framework, and political commitment to develop and enforce access rules for the PCA in a fair and equitable manner and in accordance with the agreement reached with local stakeholders; (iii) to what extent applicable laws, regulations, and practices provide sufficient scope for stakeholders to participate meaningfully in PCA management and implementation of a PF; (iv) whether legacy issues may lead to a level of distrust among the parties that cannot allow for a constructive participatory decision-making process; and (v) whether initial assessments indicate that the parties are genuinely interested in and committed to reaching agreements on shared use, governance, and benefit sharing.

- (b) Identify: (i) stakeholders, including likely PAPs, other proposed parties to the PF, and other interested stakeholders to be informed or consulted; (ii) agencies in charge of management and enforcement of the PCA; and (iii) any other parties with jurisdiction or control over the project area, resources, or activities. This should be done by drawing upon available information such as recent censuses, social surveys, and social assessments or analyses that have been carried out for the project and/or for other purposes, as well as consultations with local groups and other knowledgeable parties. Stakeholders should be identified through a stakeholder mapping exercise which is to be documented and summarized in the PF;
- (c) Identify recent and current occupations and uses of land, water, and other natural resources in the PCA and in adjacent or nearby areas which have an ecological, social, and/or functional link to the PCA (e.g., wildlife dispersal areas or corridors, buffer zones, catchments). Drawing upon existing plans and surveys, key informant interviews, remote sensing, etc., make an initial assessment of the nature and extent of the various groups' respective use of/dependence on PCA resources (including any settlements);
- (d) Based on the above, identify groups (including PAPs, PCA management authorities, rules enforcement entities, local governments, NGOs, etc.) who will be included in the preparation of the PF;
- (e) Develop and implement a plan for outreach, awareness-raising, and consultation activities to encourage and enable each of these groups to participate effectively in preparation of the PF. If any of the identified groups will not participate or will only participate in a limited way, provide explanations and justification for this;
- (f) Incorporate the results of these consultations on PF preparation in the structure and provisions of the PF;
- (g) Identify and address any specific constraints or challenges to outreach/consultation, such as: (i) language(s) to be used, interpretation provisions and communication tools (written, spoken, pictorial, etc.), (ii) the need to ensure representation/effective involvement of minority or less-empowered subgroups within larger stakeholder groups (e.g., women, youth and elderly, , IPs/SSAHUTLCs, ethnic minorities, seasonal land users, etc.); (iii) remoteness and difficulty of access; (iv) traditional methods of community consensus-building and decision-making, etc.;
- (h) In consultation with the institution(s) responsible for preparing and implementing the project, provide a proposed structure and timetable for the overall PF implementation process, including specific milestones and deliverables up to and including a final report and the agreed action plan with agreed access restrictions and associated mitigation measures that will be prepared during PF implementation; and
- (i) Coordinate with teams preparing the project's Environmental and Social Impact Assessment (ESIA), social or other environmental and social (E&S) assessment, Stakeholder Engagement Plan (SEP), and, as applicable, Indigenous Peoples Plan/Planning Framework (IPP/IPPF) and Resettlement Plan/Resettlement Policy Framework (RP/RPF) (where these are required because the project will involve interactions with IPs/SSAHUTLCs or physical displacement of PAPs, respectively).

III. Structure and Contents of the Process Framework

11. As set out in ESS5, Annex 1, the PF should describe the participatory processes by which the following activities will be accomplished: (i) project components will be prepared and implemented; (ii)

criteria for eligibility of PAPs will be determined; (iii) measures will be identified to assist affected persons in their efforts to improve their livelihoods to pre-displacement level, in real terms, while maintaining the sustainability of the PCA; and (iv) potential conflicts or grievances, including within or between affected communities, will be resolved. The PF should also set out relevant administrative and legal procedures and monitoring arrangements. Because the PF will likely be available as a free-standing document, it should also briefly summarize the objectives of the PF and the objectives and components of the project. Each of these PF elements is discussed briefly below.

A. Objectives of the PF

12. Set out the objectives of the PF, adding project- and context-specific details to the general objectives set out in ESS5, paragraph 21(d) and Annex 1: For projects that may impose changes in land use that restrict access to resources in legally designated parks or protected areas or other common property resources on which local people may depend for livelihood purposes, *the purpose of the process framework is to establish a participatory process by which members of potentially affected communities participate in design of project components, determination of the appropriate restrictions on use, and determination of measures necessary to achieve the objectives of this ESS to address adverse impacts on livelihoods that may result from such restrictions, and implementation and monitoring of relevant project activities.*

B. Project Background, Objectives and Description

13. The PF should provide an overview of the country's system of PCAs, with emphasis on aspects such as the degree of public acceptance of PCAs; historical and current threats to their viability and sustainability; the quality of, and extent of stakeholder participation in, their management; and the presence of IPs/SSAHUTLCs, vulnerable groups, or other groups that may require particular attention. If the project involves only one or some of the PCAs in the country, the descriptions should focus on those PCAs, with general information on others provided as needed for context.

14. The PF should also describe the nature of the project (reflecting the project typology set out in the GPN) with details on proposed project components/activities that will or might have an impact on people's access to and use of PCA resources (including cultural resources and areas), i.e., the reasons a PF is required. If the project will or might result in physical displacement of any PAPs, the PF should note that this impact will be addressed through a RP.

C. Identify Project-Affected People, PF Participants and Other Stakeholders

15. Identifying the individuals and groups who will participate in the PF in various ways is expected to be an iterative process. The first step, which falls within the scope of these ToRs, is identifying appropriate PAPs/stakeholders to participate in PF preparation and their selected representatives. This should be done using available data from existing or new socio-economic, anthropological, and other studies and surveys, and through consultation with communities present in and surrounding the PCA and/or groups known to use the PCA resources regularly, including any settlements within and adjacent to the PCA. Sometimes it will involve mediating among stakeholder groups who are in conflict with one another, either due to competition for the PCA's resources or for other reasons. Once the PF is operational, the initial criteria and participant groups may be revised or refined by the current PF participants to add any newly identified groups.

16. The initial identification of PAPs/stakeholders should encompass a wide scope of potential participants, including those whose use of the PCA is seasonal or sporadic, as long as access to the PCA resources plays an important role in their livelihoods or cultural practices. The PF should set out the specific criteria and decision-making processes that will be used to determine which groups or individuals

are entitled to participate in the negotiations and in decision-making on PCA resource access, and those who would benefit from livelihood support activities to address negative impacts of the new or enhanced restrictions (in many cases the latter will be a subset of the former).

17. Within this broad context, any new or enhanced restrictions on access to PCA resources will affect different groups in different ways and to different degrees. To the extent possible, those preparing the PF should categorize the different stakeholder groups with respect to how central the PCA resources are to their livelihoods and cultures. Some groups who are affected by access restrictions may need mitigation measures to help restore their livelihoods, while others might be involved in discussions and decisions on resource access but require little or no livelihood support. Others may have legal, commercial, or customary rights, claims, and governance roles regarding the PCA and/or its resources. It may not be feasible or effective to establish a single negotiation and decision-making process that can truly represent and allow meaningful participation of a very large, diverse, and/or widely scattered collection of PAPs/stakeholders. Other approaches might need to be explored, such as establishing multiple targeted PFs under an overall “umbrella” framework. Given the prominent presence and role of IPs/SSAHUTLCs in PCAs and the differentiated rights regimes that may apply to them, if IPs/SSAHUTLCs are potentially present in the country and/or project area, the factors outlined in Annex X of the GPN should be assessed and the concerned IPs/SSAHUTLCs consulted to determine how they should be involved in the project and in the PF.

18. The PF should distinguish between PAPs and other stakeholders who have an interest in the project and/or in PCA management but are not affected by the new or enhanced access restrictions. The latter would normally be considered as part of the project’s SEP rather than the PF. However, in some cases stakeholders who are not directly affected by the project might be actively involved in PCA management or local economic development. These may be included as parties to the PF, if this is expected to strengthen the process and/or implementation of its outputs.

19. PF preparation may need to consider how to manage individuals/groups who are using PCA resources illegally and/or unsustainably, particularly on a large scale or for commercial purposes, and especially if they are not from local communities. However, users (particularly at the basic sustenance level) should not be excluded from the PF automatically based on their use of PCA resources being illegal or unsustainable. Rather, a core objective of the PF is to assist and support such users to shift to more sustainable and legal practices and livelihood sources.

20. For each project, the ToRs should specify whether the PF will only describe the participation criteria and decision processes or will also include an initial/indicative list of PF participants and other stakeholders, based on application of the criteria. It should also describe how the criteria and participating groups could evolve and be revised during PF implementation, and include the activities necessary to complete the subsequent phases of the PF.

D. Mitigation and Livelihood Support Measures

21. Projects for which a PF is prepared typically aim to address situations where existing levels of extraction or usage of PCA resources are or may become unsustainable and lead to degradation or ecological loss of biodiversity. However, restricting access to economically important natural resources which people are accustomed to using can have a significant adverse impact on their livelihoods, wellbeing, and development opportunities. To maintain ecosystem and biodiversity values as well as support for socio-economic stability and progress, the project design will often include measures to assist PAPs to restore or, if possible, improve their livelihoods. The PF should include provisions to assess and develop such measures. Even if the project does include such activities, additional measures may be

needed as the PF is implemented to ensure that affected communities and people are covered, or to otherwise supplement the activities included in project design.

22. The PF should include criteria and procedures by which individuals and groups who are adversely affected by new or strengthened access restrictions can participate in resource management and allocation and identify and choose livelihood restoration activities and supporting measures. These measures will be reflected in an action plan (which may be a stand-alone LRP, part of a PCA management plan, or a natural resource use agreement). The PF might also include proposals or a menu of options for potential resource access and/or livelihood restoration activities and measures that provide a starting point to be revised or refined during implementation of the PF, based on consultations with PAPs during PF preparation. Typical measures could include, for example: licenses for controlled/sustainable use or extraction, support to enhance sustainable resource use (including technical assistance, supply chain, and marketing support), seasonal use permits and use quotas, access for cultural and spiritual use, co-management arrangements, alternative livelihoods (PCA related or not), etc.

E. Resolving Conflicts Within and Among PF Participants

23. The PF should describe processes for mediating/negotiating and resolving disputes relating to resource use restrictions that may arise between or among affected communities, and between PAPs and entities responsible for PCA management and/or protection. Examples of conflicts that could arise include claims by other stakeholder groups that they should be included as parties to the PF and/or livelihood restoration benefits, the legitimacy of proposed representatives, differing opinions regarding acceptable types or sustainable levels of resource use, and the role of different stakeholder groups in PCA management. The dispute resolution/mediation approaches and measures should be transparent, participatory, and adaptive, and to the extent possible, they should build upon existing, locally accepted conflict resolution mechanisms.²

F. Institutional Structures and Procedures for Implementation

24. The PF should include a description of institutional arrangements for administering the PF as an ongoing consultative and negotiating process and for implementing measures and programs set out in the action plan agreed as a result of the processes set out in the PF. These arrangements should include agreements reached with relevant authorities, agencies, and organizations (including but not limited to those responsible for PCA management and protection) and with participating PAPs/stakeholders. They should identify any relevant laws and regulations, delineate administrative and operational roles and responsibilities, and identify sources of funding for the expected duration of the activities. The PF should also set out capacity-strengthening measures that are needed to enable or help improve the various parties' ability and commitment to fulfill their respective roles. Again, the measures initially described in the document would be subject to refinement and revision during implementation of the PF.

25. The PF should set out budgets and sources of funding required for each year of project implementation; this includes staffing, equipment, and operating costs of implementing entities and other entities involved in PF implementation. It should also estimate the resources needed for implementing the action plan(s), including needed mitigation measures and livelihood support activities.

G. Monitoring of PF Implementation and Impacts

26. The PF should describe arrangements for participatory monitoring of: (i) implementation of the ongoing consultation and negotiation process; (ii) definition and implementation of the measures and activities intended to achieve the PF's objectives (as set out in an action plan); and (iii) positive and adverse

² See the GPN, Issue 11 and Annex XI on GM.

impacts of the project’s activities relating to PCA management, access, and use. This includes monitoring the inclusiveness and legitimacy of the participatory process and the effectiveness and outcomes of livelihood assistance measures taken to improve or at a minimum restore incomes, livelihoods, and living standards. Monitoring the implementation and performance of the PF is essential to enhance its effectiveness and its continued acceptance by stakeholders. The PF should include a recommended monitoring template and framework, including participants (e.g., community-based, third-party), performance indicators, timeframe and estimated budget, with the understanding that this framework will be refined and adapted as part of implementation of the PF and reflected in any resulting action plan.

IV. Related Assessments to Be Carried Out

27. In order to ensure completeness and viability of the PF, the assessments listed below are required as background or inputs.³

A. Assessment of Enabling Conditions for a PF

28. Describe the assessment(s) that have determined that the enabling conditions for a PF are present (as laid out in paragraph 34 of the GPN). This may include some gap-filling measures to ensure that the PF provides for a participatory decision-making process. If other environmental and social (E&S) documents, such as an LRP or RP, SEP, IPP, etc., are also required for certain project activities, this should also be noted.

B. Analysis of Institutional Structure for PF Implementation

29. Describe proposed implementation arrangements for all aspects of the PF, including the roles and responsibilities of all participating and supporting parties: PAPs, community groups (e.g., resource user associations), PCA management authority, other national and/or local government entities (e.g., responsible for enforcement or security in the PCA), NGOs/CSOs who will assist with management, consultation or livelihood activities, and project implementation unit (PIU). For each entity or group involved in implementation of the PF:

- (a) Describe its institutional/contractual/operational mandate (formally documented or informally understood), with emphasis on relevance to implementation of the PF and associated activities; assess its capacity and commitment to carry out its mandated role(s) that are necessary for the successful implementation of the PF. To the extent possible, describe its demonstrated track record in aspects that are essential to the successful implementation of the PF, such as: willingness to negotiate in good faith on matters of PCA management and resource use, adherence to the principles and practices of stakeholder engagement and co-management agreements, and acceptance by the affected communities;
- (b) Identify and assess the representativeness, equitability (e.g., inclusion of women and minority groups), and effectiveness of any existing community organizations and processes that enable stakeholders to have input into, or to participate in, the management of the target PCAs. This may include, for example, regular information sharing processes, stakeholder/community participation in PCA implementation and enforcement, representation on advisory committees or Boards, or legally established co-management arrangements;

³ This section of the ToRs should (i) list the documentation where such assessments can be found as provided, or to be provided, by a consultant or government entity; or (ii) include the mandate (and additional instructions) for the consultant (or government entity) preparing the PF to carry out the required assessments that will be included as accompanying reports as part of the Deliverables.

- (c) Identify capacity-strengthening requirements that would be needed to enable any of the above parties to better fulfill their proposed roles in implementing the PF;
- (d) Provide estimated timeframes and budgets for implementation of the main activities, including capacity-building requirements; and
- (e) If IPs/SSAHUTLCs are present, assess their roles and responsibilities as well as capacity, needs, and aspirations, in accordance with ESS7 and Annex X of the GPN.

C. Feasibility and Risk Assessment

30. If the PF includes specific proposals for action, such as changes in PCA management policies or rules for sustainable use of PCA resources, and/or livelihood support measures, prepare a risk assessment for the likelihood of successful implementation of these actions, from the technical, financial/economic, political, legal, social, and cultural perspectives.

31. For proposed alternative livelihood activities and livelihood support measures (such as ecotourism, intensive agriculture, value-added products based on natural resources, agro-forestry, non-timber forest products, etc.), this should include a basic feasibility assessment of the potential viability and sustainability of the proposed activities. This includes an assessment of stakeholder interest, preliminary market analysis, and assessment of capacity and costs of implementation; it may also include a SWOT⁴ analysis of the proposed approaches or similar tools.

32. As part of this risk assessment, identify and assess the current significance of any history of conflicts among parties to the PF (e.g., between resource users and PCA authorities, or between different groups of resource users) or other legacy issues that could undermine trust among the parties and therefore the viability and successful implementation of the PF.

33. If the feasibility and risk assessment indicates there is a significant risk of failure or unsustainability of the PF relating to any of the above, suggest possible approaches/actions to reduce, overcome, or manage these constraints and/or alternative approaches/actions for further discussion with the PF participants.

D. Readiness Indicators and Resources for Initiating Implementation of the PF

34. Identify the circumstances and resources that are needed prior to initiating implementation of the PF, including any agreements or approvals to be made or formalized, specific actions to be taken by any of the parties, and mechanisms or systems to be put in place or operationalized (e.g., GM, baseline data collection, monitoring and reporting system, communications system, agreement on process with IPs/SSAHUTLCs, etc.). Identify the parties responsible for any such actions and provide indicators for their successful completion and cost estimates for carrying them out.

Deliverables and Timing

35. The timetable for preparation of the PF will depend on the nature and scale of the project, the amount and quality of baseline (biological, sociological and socioeconomic) information available, the accessibility of project sites, and the complexity of the context, such as the total number of PAPs and their cultural diversity and geographical distribution, the need to prepare information and engage in consultations in multiple media and languages, the degree of trust among parties and their willingness to negotiate with one another, etc. The project-specific ToRs will set the schedule for deliverables considering

⁴ An analysis of Strengths, Weaknesses, Opportunities, and Threats.

the GPN’s guidance on timing and the need to meet the requirements of the Environmental and Social Framework (ESF) and the Environmental and Social Commitment Plan (ESCP).

36. The following reports will be prepared and delivered in accordance with the schedule set out in these ToRs:

- (a) Inception report, including detailed plan and budget for PF preparation. This should normally be provided within about 3 weeks after initiation of the assignment. This typically allows for at least one field visit for relatively simple and localized situations. For more complex situations or widely dispersed stakeholders, more time might be needed. The inception report can provide a basis for reviewing and revising expectations regarding consultation methods, timeframe, costs, and delivery schedule;
- (b) Reports of consultations and other documentation of key steps in PF preparation (stakeholder mapping, key topical reports, and inputs received during consultations and how they have been addressed);
- (c) Draft PF, to be circulated for review and comment among involved PAPs/stakeholder groups (if this includes IPs/SSAHUTLCs, additional time and travel should be allocated), and other important stakeholders, including the World Bank project team;
- (d) Draft accompanying reports on enabling conditions, analysis of institutional structures for PF Implementation, feasibility and risk assessment, and readiness indicators and resources for implementation, as well as on the stakeholder mapping process; and
- (e) Final PF and final accompanying reports, including process implementation arrangements and provisions for finalizing and implementing the measures to assist PAPs in restoring their livelihoods (action plan including actions agreed, responsibilities, budget, and monitoring arrangements) as further described in the Outline for a PF below.

Deliverables	Timeline ⁵
Inception Report	Weeks 2–4
Complementary studies (if applicable)	Weeks 6–8
First draft of the PF (see outline)	Weeks 12–14
Final Draft of the LRP	Weeks 16+

Budget for PF Preparation

37. The costs for PF preparation will also be project- and context-specific, depending on the factors indicated above. The following line items are likely to be required in most cases:

- For complex projects or other situations where additional expertise or capacity is required, consultant(s) to advise on or to lead the PF preparation on behalf of the government;
- Personnel to carry out or facilitate and support consultation meetings;

⁵ Timelines are indicative and should be adjusted based on the number of PAPs, information available, and complexity of the situation.

- Per diems for government staff leading or supporting PF preparation activities;
- Communications;
- Short-term expert consultants in various fields, as needed (see Qualifications below);
- Production of materials (documents, brochures, posters, maps, visual aids for consultations, etc.);
- Translation (of written materials) and interpretation (at meetings);
- Transportation for consultations and monitoring (including fuel and vehicle maintenance);
- Miscellaneous consultation-related costs (e.g., venues, food, and stationery supplies for meetings); and
- If consultations with IPs/SSAHUTLCs and/or Free, Prior, and Informed Consent (FPIC) are required, additional costs for travel and participation subsidies may be needed.

Qualifications

38. Preparation of a PF will require input from a variety of disciplines. Depending on the scale and potential impacts of the project and the complexity of the project context, this might be achieved through a multi-disciplinary team, or by engaging a lead specialist with resources to bring in specific expertise on a short-term basis as needed. The lead specialist/team leader’s qualifications should emphasize relevant practical experience and should include:

- An advanced degree or equivalent experience in a relevant social field (e.g., sociology, anthropology, or other social sciences, community governance, conflict management) and/or post graduate studies or equivalent experience in related subjects;
- Familiarity and practical experience with PCA management and social aspects of biodiversity conservation and resource management, including co-management arrangements or similar community-oriented approaches;
- Knowledge of the country, including PCA policies and practices, IPs/SSAHUTLCs and forest and community land management frameworks, and ideally including in-country work experience; and
- Working knowledge of one or more locally used languages would be an advantage.

39. The nature of supporting expertise (through team members or short-term inputs) will vary based on the elements of the PF, including factors such as the cultural diversity of the parties to the PF and the nature of proposed livelihood restoration measures. Typically, the range of expertise should include expertise in some, or all, of the following:

- Social analysis;
- Community development;
- Consultation/meeting facilitation;
- Conflict management and mediation;
- Natural resource management and biodiversity conservation (e.g., forestry and forest livelihoods, fisheries, coastal zone management, pasture management, wildlife management, ecological services management and payment schemes, or others, as relevant based on the PCA resources that are economically or culturally important to the PAPs);

- Small enterprise development (e.g., in ecotourism, agriculture, and value-added agricultural or natural products) depending on the types of likely activities for alternative livelihood development;
- IPs/SSAHUTLCs, forest dwellers;
- Vulnerable groups;
- Gender;
- Monitoring and evaluation;
- Logistics/administration (to organize and support consultations and other field activities); and
- Working knowledge of the language(s) of main stakeholder groups (including through recruitment of translators/interpreters as needed).

Appendix

Outline of Process Framework

- I. Introduction: Overview of the document, input received and documents consulted, consultations to date, objectives of the PF (including ESS5 objectives and requirements to be met).
- II. Project background and description (resource inventory and current uses and rights, the general nature and anticipated potential socio-economic impacts of any new or strengthened restrictions on access to PCA(s) and their resources, and contextual considerations).
- III. Relevant policy and legal framework, current (pre–project) restrictions on access to PCA(s) and their resources.
- IV. Identification and description of the PAPs and other stakeholders participating in the PF.
- V. Participatory planning process for definition of decision-making process, access restrictions, and related mitigation and governance measures (including details of consultation methods and decision-making procedures).
- VI. Criteria for participation of PAPs in:
 - a. Implementation of the PF;
 - b. Continued access, governance, benefit sharing and/or livelihood assistance activities.
- VII. Planned restrictions of access and their expected impacts on livelihood.
- VIII. Measures (e.g., LRP) to assist PAPs in restoring or improving livelihoods (summary of supporting assessments).
- IX. Procedures for resolving conflicts or grievances (including among PAPs and between PAPs and PCA authorities and other stakeholders).
- X. Implementation and monitoring arrangements, roles and responsibilities, including measures for institutional strengthening where needed for (a) the consultation decision process and preparation of the mitigation action plan; and (b) the implementation of the action plan prepared as a result of the PF. Where needed, the mitigation action plan can include provisions for iterative updates and the corresponding approval procedure.
- XI. Arrangements for preparing and implementing any agreed or proposed action plan(s), including timeline for implementation and an outline of the plan(s). The outline may be included as an Annex to the PF.
- XII. Budget and sources of funding (for implementation of the PF process as well as action plans described in Chapter IX to be developed to implement the measures defined in Chapter VIII of the PF).
- XIII. Arrangement for monitoring implementation and completion of the processes, achievement of the milestones/deliverables, and implementation of agreed actions and the respective action plans.
- XIV. Adaptive management measures and contingency funding.