

Process Framework for Involuntary Restrictions

May 29, 2018

CEPF Grant Proposal 103961

J. Albert C. Uy, University of Miami

*Establishing a Protected Area in East Makira Key Biodiversity Area to Conserve Biodiversity, the
Solomon Islands*

East Makira, Solomon Islands

Grant Summary

1. **Grantee organization:** University of Miami
2. **Grant title:** Establishing a Protected Area in East Makira Key Biodiversity Area to Conserve Biodiversity, the Solomon Islands
3. **Grant number:** 103961
4. **Proposed grant amount (US dollars):** US\$84,476.00
5. **Proposed dates of grant:** June 1, 2018 to May 31, 2020
6. **Countries or territories where project will be undertaken:** Solomon Islands
7. **Date of preparation of this document:** May 29, 2018

The Process Framework will describe the project and how restrictions of access to natural resources and measures to assist affected communities. Affected communities should have the opportunity to participate in the drafting of the Process Framework. Typically, the Applicant will prepare a draft Framework that will then be shared and discussed with local communities and other relevant stakeholders. Based on the consultations, a final Framework will be prepared. CEPF may provide guidance on development of the Framework and will review and approve the final Framework prior to approving the final project proposal application. The Process Framework should include the following elements:

A. Project background

Makira Island, which is included in the East Melanesian Islands Biodiversity Hotspot and the Global 200 Ecoregions, has one of the highest rates of species endemism in the entire Solomon Islands. Unfortunately, this rich endemism is under constant threat from clear-cut logging. Without alternative sources of income, communities throughout Makira are turning to commercial logging for quick revenue, and thus we here propose conservation initiatives that begin to meet these challenges.

For over 10 years, J. Albert C. Uy and his team from the University of Miami (UM) have worked in East Makira, one of the most remote regions of the Solomon Archipelago. Conversations with multiple communities throughout the region during various expeditions indicated that many are either currently engaged in or have signed concessions for clear-cut logging with foreign companies. The large-scale loss of forest and riverine ecosystems, and the resulting loss of ecosystem services, are therefore imminent. At the conclusion of one of our expeditions in search for the Makira moorhen in 2016, elders of the Nasuahu, Kereapena and Napuamarawa (NKN) communities approached our team in hopes of establishing a protected area (PA) [see Figure 1]. This proposed PA in East Makira is over 18,500 hectares, and includes high elevation cloud forests, secondary and climax rainforests, and a major river system that empties into mangroves, lagoons and near-shore marine ecosystems. The NKN communities have resisted logging for years but their customary land is under immediate threat, as neighboring communities are engaged in commercial logging and several men from the NKN communities are now working for logging companies in these neighboring areas. This persistent threat from logging leaves a short window of opportunity to engage the NKN communities in establishing a PA. Without access to programs that can help with the establishment of a PA, it is inevitable that they will turn to logging within the next two years. Our goal, therefore, is to empower the NKN communities to establish then manage a PA, with the aim of preserving continuous tracks of intact ecosystems that is critical for preserving endemic plants and animals, and continued access to ecological services provided by a healthy ecosystem.



Figure 1: [Left Panel] Map of East Makira, showing the proposed Nasuafu, Kereapena & Napuamarawa (NKN) Protected Area (PA) and the Nafinua Station on Frigatebird Island, a small islet off Makira. The area, outlined in yellow, is greater than 180 km² (18,500 hectares) of cloud forest, secondary and climax rainforest, and large river systems that empties into mangroves and lagoons. [Right Panels] Examples of climax forest, riverine, and lagoon ecosystems contained in the proposed PA.

Approach. The ultimate goal of this project is to establish the NKN protected area in East Makira, which will consist of *ca.* 18,500 hectares of climax and secondary rainforests, cloud forests, riparian woodlands, and mangroves [Fig. 1]. The proposed approach includes a series of activities with clear deliverables. Uy and his UM team will lead this project; however, they will partner with experienced conservation biologists and lawyers from Solomon Island NGOs. Mr. David Boseto and Dr. Patrick Pickacha, who are founding members Ecological Solutions Solomon Islands (ESSI), will be hired as consultants. Boseto and Pickacha have many years of experience in capacity building, as well as guiding communities in establishing protected areas. In addition, a lawyer will be hired from the Solomon Islands Environmental Law Association (SIELA) to help navigate through the legal issues involved with declaring a PA. The project comprises 4 major components, with associated deliverables and activities detailed in Table 1 below.

At the conclusion of the proposed CEPF project and the establishment of the protected area, Uy will continue to work with the NKN communities to seek funding to maintain the PA, which include fund raising with private companies and grant proposals with other NGOs. Uy will take advantage of UM’s Development Office, who expressed strong interest in securing long-term funding for this project, including establishing student-led initiatives that leverage social media (e.g., a proposed voluntary carbon tax program targeting UM students, staff and alumni).

Detailed below in Table 1 are the 4 major components, and associated activities and deliverables of this project.

Table 1: Description of components of the proposed project establishing the NKN PA

Component	Deliverables	Activity and Description
1. Secure project endorsement from stakeholders & outreach (YEAR 1)	1.1. A draft of consent letter template by August 2018	1.1.1. Community meetings to discuss the partnership with NKN communities by July 2018.
		1.1.2. Development of a letter of project endorsement by August 2018, as implemented by Uy with input from the NKN communities
	1.2. Establishment of management committee to oversee the overall goals and implementation of this collaborative project with Uy's team by Aug 2018. The management committee will endorse the project by signing the consent letter.	1.2.1. Meetings with community elders of the NKN communities to establish a management committee by July 2018. This effort builds on the existing Conservation Committee established by NKN elders and will facilitate communication between Uy and the stakeholders.
		1.3. Conflict resolution and complaint mechanism developed and implemented, with input from the stakeholders by August 2018
	1.4. Endorsement of project and complaints system through signed letters by the management committee by Aug 2018	1.4.1. Uy will meet with the communities to discuss the CEPF project and the final draft of the support letter
		1.4.2. Uy will meet with NKN elders and management committee to receive endorsement of the project by August 2018
	1.5. Outreach program, which includes materials for outreach, to reach and inform over 200 NKN community members of the goals of the project by December 2018	1.5.1 Development of powerpoint and oral presentations to provide 1) a primer to conservation and climate change, and 2) details of the goals of this CEPF project for our outreach program by August 2018
		1.5.2. Implementation of outreach program to provide 1) a primer to conservation and climate change, and 2) details of the goals of this CEPF project by December 2018. Each of the 3 communities will be visited at least once.
		1.5.3. Administration of survey to 100 community members (33-34 from each community) to measure conservation attitudes using the New Ecological Paradigm before and after exposure to our outreach program by Dec 2018
	1.6. A workshop, based on documents (e.g., reader) and powerpoint presentations, to be held at the Nafinua Station to introduce 10 stakeholders to concepts in conservation, and the processes involved in declaring a PA by Dec 2018	1.6.1. Develop and execute a workshop on conservation and the steps required to declare a PA by December 2018. This single workshop will be held at the Nafinua Research Station, and will last for 5 days and involve 10 stakeholders.
2. Boundary and habitat mapping (Year 1)	2.1. Complete field data set (e.g., GPS coordinates, site descriptions, altitude) for boundary mapping, and mapping of habitats, settlements and culturally relevant sites by February 2019	2.1.1. Uy's student & 2 rangers from the Manutage will work with 8 stakeholders for 21 days to complete data collection for mapping by Feb 2019. Mapping activities include taking GPS and altitude data of landmarks to establish boundaries, habitats and sites.
		2.2.1. Uy and his UM student will combine field data with remote sensing data to construct the digital map of the diverse habitats, settlements and culturally important sites within the proposed PA's boundaries by May 2019
	2.2.2. Production of physical maps with the habitats, settlements and culturally relevant sites mapped within the proposed NKN PA to	

		be shared with the NKN communities by August 2019
		2.2.3. Participatory meetings with stakeholders to seek their input regarding the map, especially its boundary by August 2019. Map will be revised as needed.
3. Biodiversity Survey (Year 2)	3.1. Complete field data set for plant and animal species diversity surveys at 8 permanent study plots within the NKN PA by December 2019	3.1.1. Uy, Boseto and Pickacha will train 8 stakeholders in biological survey techniques, and plant and animal species identification for 10 days by December 2019.
		3.1.2. Uy's student & 2 rangers from the Manutage will work with 8 stakeholders for 21 days to complete biodiversity surveys at 8 permanent study plots by December 2019. The team will collect abundance and distribution data for several taxa.
	3.2 Establish permanent study plots of long-term surveys of diversity and habitat quality (across years) by December 2019	3.2.1 Eight permanent study plots will be established for diversity surveys (two each in cloud forest, primary rainforest, secondary rainforest and mangrove habitats) by December 2019. The 8 plots will be monitored every other year.
	3.3. A powerpoint presentation and document detailing the results of the diversity survey by Feb 2020	3.3.1. Uy & his student will create a powerpoint presentation that summarizes the results of the surveys by Feb 2020. The presentation will given to stakeholders and include a discussion on the relevance of each habitat, and their relative value in conservation.
		3.3.2. Uy & his student will create a document that summarizes the results of the surveys by Feb 2020. The document will include a discussion on the relevance of each habitat, and their relative value in conservation, which is critical for the PA proposal.
	4. Declaration of protected area (Year 2)	4.1. Draft of PA proposal by December 2019
4.1.2. Community/stakeholders meeting with Uy, Pickacha, Boseto and SIELA lawyer to discuss the process of declaring a PA by December 2019		
4.1.3. The management committee with Uy, Boseto, Pickacha and SIELA lawyer will draft a PA proposal by Dec 2019. The PA proposal will contain details about the boundaries of the PA, the restrictions on resource harvest by stakeholders and governance.		
4.2 Posting of Public Notice regarding the PA proposal and community/landowners meeting discussion by Jan 2020		4.2.1. Public notice about the meeting to discuss the PA proposal is posted by Jan 2020. The public notice needs to be up for 4 weeks.
4.3. Land owner consultation meeting and endorsement of PA proposal by March 2020		4.3.1. Uy, Boseto and Pickacha will hold a meeting with the NKN landowners to discuss the details of the draft PA proposal, the boundary map of the proposed NKN PA, and nomination of management committee (if changes are desired) by March 2020.
		4.3.2. Elected management committee signs and endorses the PA proposal by March 2020
4.4. Letter indicating intent for the proposed PA will be written and sent to relevant Ministries and Provincial Government by April 2020		4.4.1. The Management Committee, in consultation with Uy, Boseto, Pickacha and the SIELA lawyer will draft a letter to relevant federal Ministries and the Provincial Government indicating the intent to establish a PA, including the PA proposal by April 2020
		4.4.2. The Management Committee will present the letter of intent to establish a PA and meet with relevant federal Ministries and Provincial Government by April 2020
4.5. Consultation with four neighboring communities (Wanahata, Iaru, Notorara and Bagarei) and Ward 17 Council of		4.5.1. Meetings with neighboring tribes & the region's Council of Chiefs to discuss the boundary map, as well as the NKN communities' goal of declaring the PA, by May 2020. We will

	Chiefs regarding the boundary map and general support by May 2020	ensure that all neighboring tribes are consulted and the map revised accordingly
	4.6. Draft a management plan for the NKN PA by May 2020	4.6.1. The management committee will develop and draft a management plan for the NKN PA (e.g., vision, restrictions of resource use, governance) in consultation with Uy, Boseto, Pickacha and the SIELA lawyer by May 2020
	4.7. Declaration of the NKN PA by July 2020	4.7.1. The management committee of the NKN communities, in consultation with Uy, Boseto, Pickacha and a lawyer from SIELA will submit the PA application to the Ministry of Environment to register the NKN PA through the Protected Area Act 2010 by June 2020
5. CEPF financial and programmatic reports	5.1. University of Miami submits two annual project audits to CEPF by July 2019 and July 2020	5.1.1. External project audit submitted for June 2018 to May 2019 period, in July 2019
		5.1.2. External project audit submitted for June 2019 to May 2020 period, in July 2020
	5.2. Baseline and final evaluation of the gender tracking tool (GTT) applied for University of Miami by August 2018 and May 2020, respectively	5.2.1. Baseline evaluation taken of University of Miami in first project quarter for Gender Tracking Tool by August 2018
		5.2.2. Final evaluation taken of University of Miami in first project quarter for Gender Tracking Tool by June 2020
	5.3. Prepare, sign, implement and monitoring Professional Service agreements with SIELA and ESSI in compliance with CEPF policies. (July 2018 to May 2020)	5.3.1. Prepare Terms of Reference for SIELA and ESSI by July 2018
		5.3.2. Prepare and sign professional service agreements, which includes detailed deliverables, reporting schedule, financial management requirements for project reimbursement and CEPF flow down provisions, between University of Miami and ESSI by July 2018
		5.3.3. Prepare and sign professional service agreements, which includes detailed deliverables, reporting schedule, financial management requirements for project reimbursement and CEPF flow down provisions, between University of Miami and SIELA by June 2019
		5.3.4. Ensure compliance of professional service agreements, in July 2019, to ensure ESSI is compliant, to include completion of deliverables and approval of University of Miami financial staff of submission of all receipts.
		5.3.5. Ensure compliance of professional service agreements, in July 2020, to ensure SIELA is compliant, to include completion of deliverables and approval of University of Miami financial staff of submission of all receipts.
	5.4. Safeguard policies for Indigenous Peoples and Involuntary resettlement implemented and monitored to ensure full compliance with CEPF policy throughout the project duration	5.4.1. Complaints system developed and disseminated to project partners and beneficiaries by August 2018
		5.4.2. Permission from the NKN communities formally obtained and sent to CEPF in support of project activities and objectives by August 2018
		5.4.3. Safeguard policies for Indigenous Peoples and Involuntary resettlement implemented and monitored, to include submission of compliance report to CEPF on July 30 and January 30.

		5.4.4. Final impact report submitted 60 days after project close (August 2020)
	5.5. Final impact monitoring report completed and submitted by July 2020	5.5.1. Monitoring systems established and implemented by UM to measure project impacts and CEPF indicates throughout the project.

B. Participatory implementation

The impetus for this CEPF project comes almost exclusively from the NKN communities. After our team conducted surveys in the NKN tribal lands to search for the Makira Moorhen, elders of the community approached us seeking help in declaring a conservation area. As such, the entire project is based on voluntary participation of stakeholders and its success will depend on their commitment. In fact, our first activities will be meetings with stakeholders in the implementation of this project, including drafting and signing a letter of endorsement (including aspects of the Free Prior and Informed Consent process), establishing a management committee and developing grievance mechanisms. In short, the project will only be implemented if agreement is freely given.

Further, once the management committee is formed, we will hold a special 5-day workshop providing additional training and education, as the committee will be instrumental in leading the project and communicating with our team and CEPF (see Activity 1.6.1 in Table 1). The management committee will be explicitly involved in the implementation of the project, and in discussions with government officials and lawyers as the NKN PA is registered.

Finally, the ultimate success of this project will depend on strong support from the general community. As such, we will develop and execute outreach programs to provide 1) background in conservation and sustainable living, 2) details of the project goals and activities, and the 3) potential impact of the project for Makira and beyond (see Deliverable 1.5 in Table 1). Having support of the community will ensure the success of each of the components of this project, and thus we will seek their input in project implementation.

C. Criteria for eligibility of affected persons

The project focuses on protecting areas currently not in direct use by community members as settlements or agricultural sites. The formal mapping of the customary NKN lands will provide a clear idea of which areas are currently in use, and which areas will be designated as part of the protected area (see Component 2 in Table 1). The decision to include an area as part of the protected area will be made in consultation with community elders and the management committee (see Deliverable 1.2 in Table 1). That is, community elders and the management committee will decide on which areas of the NKN tribal land map will be set aside as the protected area, taking special care to avoid active settlements and agricultural sites. If, however, specific families or households are directly affected by the restrictions of declaring a protected area, any project implementation will only occur after the affected families have agreed to the project’s overall goals and activities.

Community membership of individuals will be determined solely by community elders and the Council of Chiefs. Community members who breach community agreed rules for the proposed PA will be assessed for exclusion from the project, under the guidance of the management committee and specific members of the Council of Chiefs (*i.e.*, NKN elders). Individuals who are not part of the NKN communities will not be eligible for participation in this project.

D. Measures to assist the affected persons

As much as possible, we will avoid negatively impacting households or families (e.g., avoiding areas that are used for agriculture). If, however, individuals are affected by the project, we will prioritize their inclusion in income generating activities. For example, affected individuals will be given priority to join the boundary mapping or biodiversity survey teams, as participants of these activities receive monetary compensation for working on these projects. Of course, the ultimate choice of participants will be determined in consultation with the management committee.

E. Conflict resolution and complaint mechanism.

One of our first activities is to develop and finalize a conflict resolution and complaint mechanism with input from stakeholders, especially community elders and the management committee (see Deliverable 1.3 in Table 1). As such, specific details of the grievance mechanism are forthcoming. However, in general, the grievance mechanism will allow individuals to contact us directly.

Below we detail information that we plan to provide to local communities and other relevant stakeholders regarding the process to raise a grievance with the grantee, the relevant Regional Implementation Team, the CEPF Secretariat and/or the World Bank. Stakeholders will be informed of the objectives of the project and the existence of the grievance mechanism through several community-wide meetings, as well as public notices, and announcements using both Pijin and local languages. Additional steps for grievance mechanism may be added after consultation with the stakeholders.

The public notice will state the following (which will be translated into the local language and Pijin):

This project to establish a conservation or protected area in your tribal land is sponsored by Critical Ecosystem Partnership Fund. If you have any grievances or question with the project or project management please contact:

Grantee, University of Miami: J. Albert C. Uy, University of Miami, Coral Gables, FL 33146, USA; Telephone contact: in USA +01 305 284 8558; in Solomon Island 7406580; Email contact: j.uy@miami.edu,

CEPF Regional Implementation Team: Suva, Fiji- Luisa Tagicakibau and Helen Pippard, RIT, CEPF East Melanesian Islands Hotspots, Oceania Regional Office, IUCN, Private Mailbag 5, Ma'afu Street, Suva, Fiji Islands. Telephone Contact: +679 331 9084. Email contact: Helen.PIPPARD@iucn.org

Local World Bank Office: Guido Rurangwa, Team Leader, Honiara, Solomon Islands; Telephone contact: +677-21444; Email contact: grurangwa@worldbank.org

CEPF Executive Director: cepfexecutive@conservation.org

We will share all grievances – and a proposed response – with the Regional Implementation Team and the CEPF Grant Director within 15 days. If the claimant is not satisfied following the response, they may submit the grievance directly to the CEPF Executive Director at cepfexecutive@conservation.org or by surface mail. If the claimant is not satisfied with the response from the CEPF Executive Director, they may submit the grievance to the World Bank at the local World Bank office.

F. Implementation Arrangements

This proposed project was initiated by the NKN Communities, who approached our team to express their interest in partnering to form the NKN Protected Area. Uy has had three general meetings with the communities prior to submission of this proposal, in which stakeholders expressed their strong desire to establish a conservation area. As such, because the impetus for this work originated from within the community, the likelihood of conflict and complaints is reduced.

To provide information to stakeholders on the goals, scope and proposed activities of this CEPF project (and overall goal of establishing a PA), we will distribute leaflets and posters throughout the communities. Importantly, we will also conduct a grant roll-out meeting with the stakeholders by August 2018. This transparency and explicit attempts to publicize the scope of the work should help manage stakeholder expectations, while reducing the likelihood of conflict during project implementation (see Component 1 in Table 1).

Finally, we will hold regular meetings with the management committee, and the community as a whole to provide updates, and a venue to express concerns to be shared and resolved in a transparent manner. These open meetings and periodic updates should reduce conflicts among stakeholders.