

Process Framework for Involuntary Restrictions and Social Assessment

April 22, 2021

CEPF Grant EPF-111976

Fauna & Flora International

“Re-establishing wild populations of the Critically Endangered Siamese crocodile”

Cambodia

Grant Summary

1. Grantee organization. **Fauna & Flora International**
2. Grant title. **Re-establishing wild populations of the Critically Endangered Siamese crocodile**
3. Grant number. **EPF-111976**
4. Grant amount (US dollars). **\$225,000**
5. Proposed dates of grant. **07/01/2021 - 06/30/2024**
6. Countries or territories where project will be undertaken. **Cambodia**
7. Date of preparation of this document: **03/31/2021**

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. Indigenous People Affected

In the Cardamom Mountains, the Chhong indigenous people belong to the Khmer Daeum “Original Cambodians” group, linguistically part of the Mon-Khmer Pearic language group of the Austroasiatic family. The group’s settlements extend from the eastern provinces of Thailand to the western provinces of Cambodia. Chhong indigenous people believe in forest spirits and respect certain wildlife, including crocodiles, tigers and monkey, which they won't harm. They pray to the forest spirit at least once a year and organise specific ceremonies within the village and in holy places (mountaintops or riverbanks). During these ceremonies, they pray and make offerings to the spirits, such as rice or chicken. In addition, they have some taboos and rules about wildlife; for example, one should not talk about tigers while walking in the forest, to avoid attacks; villagers should not pick up fruits and eat them in the field as monkeys might see them and do the same later. The beliefs are strong and passed from generation to generation, but lost when outsiders settle in the village or indigenous people move away from the area. Chhong have always used the forest and the natural resources it provides for food, medicines, ceremonies, and building materials. Thus, the project ensures that access to natural resources is not restricted in a way that it affects indigenous people's needs or traditions. Their believes in forest spirits and their strong respect for crocodiles is taken into account and leveraged as part of the project. The community awareness activities consider cultural values, local cultural knowledge and beliefs.

B. Project background

In 2000, Fauna & Flora International (FFI) led a survey team through the Cardamom Mountains where they rediscovered the Siamese crocodile (*Crocodylus siamensis*), a species previously thought to be extinct. The Siamese crocodile has been extirpated from 99% of its historical range in Southeast Asia, and only a few hundred adults remain in the wild. This species is categorized as Critically Endangered and it faces a very real risk of extinction. As a response, FFI established the Cambodian Crocodile Conservation Project (CCCP), a multi-award-winning project that aims to restore the Siamese crocodile population and use this charismatic reptile as a flagship species for conserving threatened rivers and wetlands across Cambodia. In close partnership with the Cambodian government and local communities, we have developed crocodile sanctuaries protected by local community wardens to safeguard the remaining wild crocodiles and their habitat. This is complemented with vital research and regular monitoring that in 2020

identified a clutch of 20 eggs, and in 2018 a clutch of 14. With wild populations numbering only in the hundreds, protection for these nests is critical to the species' survival.

While the Siamese crocodile population has stabilized, breeding in the wild is still very limited, meaning that Siamese crocodile populations are unlikely to recover naturally. To supplement the wild population, we developed the Siamese Crocodile Reintroduction and Reinforcement Action Plan, a comprehensive scheme outlining the required steps to implement and manage an effective crocodile release programme. To put this plan into action, a Siamese crocodile conservation breeding facility has been created to release pure-bred individuals back into the wild at suitable sites in the Cardamom Mountains, and elsewhere in the country. Additionally, rescued or confiscated crocodiles are genetically tested and incorporated into this programme. Work to date has made this one of the very few conservation success stories in Cambodia.

In the Cardamom Mountains, indigenous people have historically lived in harmony with the natural landscape, depending upon its resources for their livelihoods, whilst revering crocodiles, believing them to be their ancestors' spirits. However, decades of conflict and corruption exacerbated widespread poverty and marginalisation among these communities, who fled their ancestral lands. This has undermined their cultural values, and fuelled uncontrolled forest encroachment and natural resource exploitation across the Cardamom Mountains. Towards the end of the Pol Pot regime, the Cardamom Mountains formed the last Khmer Rouge stronghold, which – following the return of the Khmer Daeum from exile around the country– has led to indigenous, ex-Khmer Rouge and other Cambodians occupying the area together, all looking for livelihood opportunities.

Based on livelihood needs assessments in the target area, 75% of the poor indigenous communities suffer from 3 hunger months a year, and earn less than \$1 per day. Impacts of climate change and a lack of technical knowledge means that many farmers produce poor rice yields, as low as 1.5 tonnes per hectare. In addition, incredibly weak and sensitive market systems often lead to poor prices for farm goods and cause many regular economic and psychological shocks, which force these vulnerable groups further into poverty. In their desperation to evade poverty, but driven by increasing pressures on land use, local people are compelled to engage in unsustainable (and sometimes illegal) practices including logging, poor inefficient farming techniques and, poaching, resource extraction and uncontrolled hunting for bush meat. This has inevitably led to further habitat loss for key species; the consequences of which are devastating. An increase in fishing to source protein since the repopulation of the target areas means crocodiles can often be accidentally caught in nets.

In addition, to better understand local communities' vision on conservation and livelihood issues, and the dynamics of the threats to the Cardamoms Mountain rainforest, FFI conducted a participatory survey using scenario visioning and pathway methodologies during January - February 2020 in the Cardamom Mountains. The findings show that indigenous peoples from the Cardamoms still remember the pristine forests from before the 1970s. As a result of the Khmer Rouge regime, these peoples were displaced to refugee camps elsewhere in Cambodia or in Thailand during 1975-1998. Upon their return to their villages, national, Thai and Malaysian logging companies with licences issued by the government of Cambodia had already started to exploit valuable timber in the Cardamoms. Most of these companies operated until 2004 except in Ou Saom where they continued operations until 2015. The construction of roads and dams in subsequent years worsened the situation, facilitating illegal logging against a backdrop of poor law enforcement. In addition, local returnees, having lost their assets, had little alternative to logging, poaching and extraction of natural resources, thus exacerbating the impact on forest condition and wildlife. Participants estimated that less than 30% of wildlife and 40% of the forest remain compared to 1970. While these are rough and subjective estimates, they provide a sense of the scale of degradation that the forest has endured over the last 50 years, and show that indigenous communities are well aware

that this is the case. To address conservation and livelihood issues in the Cardamoms Mountains, the workshop participants suggested a 10-year plan of action involving key stakeholders (community, local authorities, NGOs and private sector). The activities suggested were:

- Forest and wildlife conservation and protection by stopping illegal activities (logging, poaching), community patrolling, clarifying rules and demarcations of protected areas with signs, engaging the community and raising community awareness in conservation.
- Improve income and food security by chicken raising, home gardening, rice farming, fruit production, other cash crops with a support in technical trainings, market strengthening and input supply.

The long-term goal of this project is to establish a viable wild population of at least 10,000 crocodiles across multiple securely protected areas in Cambodia. The target of at least 10,000 individuals (juveniles and adults) is based on research showing that reptile populations require, on average, more than 4,000 breeding adults to have a 99% probability of surviving 100 years (Traill *et al.*, 2007). The short-term goal is to increase the size of the wild crocodile population in Cambodia by at least 150 individuals by 2025. This will be achieved mainly in the project's focal areas in the Cardamom Mountains Landscape, where we believe the species has the best prospects of lasting protection and recovery, but additional areas will also be explored. Identifying potential suitable sites for population reintroduction or reinforcement will be critical to achieve the population recovery goals set out in the national species action plan.

Development pressures are mounting in Cambodia, with remote areas fast becoming scarce, jeopardizing the survival of threatened wildlife that has thus far escaped extirpation; this is particularly true of freshwater species. The Critically Endangered Siamese crocodile, a symbol of wild wetlands in the region, faces a particularly bleak future, as the remaining sub-populations are small and fragmented, and it is a relatively slow breeding species that requires undisturbed tracts of freshwater habitat to thrive. Key threats include habitat degradation, habitat destruction, entanglement in fishing nets, and poaching.

C. Participatory implementation

FFI recognises that biodiversity conservation and sustainable natural resource use are inextricably linked to people's rights to secure their livelihoods and live in dignity. We believe that the maintenance of ecosystem goods and services can contribute positively to the realisation of many human rights. At the same time, secure rights – e.g., land tenure and participation in decision-making – can enable more effective environmental stewardship. However, we also acknowledge conservation activities can have negative impacts on local people.

FFI endeavours to ensure that its conservation activities do not disadvantage or undermine poor, vulnerable or marginalised people who are dependent upon or live adjacent to natural resources, and wherever possible seeks to conserve biodiversity in ways that enhance local well-being and social equity. We are committed to respecting human rights, promoting their protection and realisation within our conservation programmes, and supporting the governance systems that can secure those rights. FFI seeks to uphold this position in all of its partnerships, including with government departments, the corporate sector and civil society organisations. In keeping with this position, FFI commits not to support, contribute to, or participate in projects or activities that would violate the principle of free, prior and informed consent (FPIC). FPIC is the principle that a community has the right to give or withhold its consent to proposed activities that are likely to affect the lands and natural resources it customarily owns, occupies or otherwise uses.

The project applies FPIC principles in all its interactions with potentially affected groups and at multiple stages in project development and implementation. Discussions are held with both female and male members of the wider community, not just leaders. They are carried out at agreed times and locations, in local languages and using visual and participatory methods particularly where literacy rates are low. The process is iterative so that communities have time to consider the information provided and the options available, rather than being expected to make decisions during a single meeting. Consent has been and will be secured at all relevant stages to date through the communities' own decision-making institutions and processes with additional measures taken to ensure women's voices are heard (e.g., separate meetings with women and men). Community participation in monitoring project implementation has been shown to increase understanding of project impacts and implications and to inform adaptive co-management. FFI will organize annual workshops with participatory evaluation of the project within target communities to assess the activities, implementation and project impact. The findings will enable us to review the activities, approach, and methodology by adaptive management through continuous learning.

From initial concept stage, information is provided on nature, size, pace, reversibility and scope of all proposed project activities; the purpose and duration of the project; the location of the areas that will be affected; who will be involved; and relevant procedures. Preliminary socio-economic assessment has been made of the likely economic, social, cultural and environmental impact, including potential risks, and proposals for fair and equitable benefit sharing. This includes assessment of the potential differential impact of project activities on different social groups including women and poorer community members. Research ethics principles are applied to household surveys, key informant interviews, and focus group discussions.

To monitor and maintain consent over the course of the project, a locally appropriate grievance and dispute resolution mechanism will be established in year 1 as described below. Given the involvement of government officials in some aspects of the consultation process, independent verification will be applied periodically to confirm that the process has been free from coercion e.g., through social surveys.

To ensure the fair participation and monitor the engagement of the stakeholders including communities, FFI will develop a stakeholder activity table, update it regularly, and share it with any stakeholders requesting it and CEPF. Sex-disaggregated data will be collected to monitor the participation of women. This document will describe the undertaken activity, the participant stakeholder and the date as follows.

Activity	Target stakeholder	Number of women attending	Description	Date

D. Criteria for eligibility of affected persons

In the Cardamoms Mountains, the crocodile sanctuaries were created more than 10 years ago in close collaboration with the Government of Cambodia and the local communities involved to protect Siamese crocodiles. The restriction to access some resources are not recent, and were all the result of discussion and agreement with the local communities. Fishing is still legal outside the sanctuaries, and FFI has been supporting the development of alternative livelihoods of those affected communities since 2007 to reduce illegal natural resource use and to create positive conservation incentives.

Equitable benefit sharing is an important principle of the project. What is considered 'equitable' in terms of eligibility for project support is context-specific and a combination of the following

principles: equality, input-based, needs-based, rights-based, pro-poor. FFI supports livelihoods of the most vulnerable households in target areas: woman-headed households, less-educated households, youth. Input-based criteria come into play where financial incentives are provided to community patrol members. Improvements in chicken raising and rice production target resident households, not outsiders, to mitigate and compensate for associated negative impacts due to restriction access to resources already in place, supporting sustainable livelihoods, and promoting women's economic empowerment. Beneficiaries have been identified following introduction of the project activities during community meetings where the whole resident population was invited. Once a year, new beneficiary groups are created as the demand for livelihood support increases, meetings with non-beneficiaries are organised annually to introduce the project, and the FFI team introduces the project's activities and impact and invites beneficiaries to share their experiences. The project team strives to involve women as much as possible within project activities. Interested households are registered, then contacted to join the training programme. Local community members who may be disadvantaged by crocodile conservation activities (e.g. poor fishermen) will be prioritized to benefit from livelihood activities.

The potential positive and negative impacts that may have affected the target communities are:

- Potential positive impact:
 1. The recovery and viability of Siamese crocodile populations in Cambodia is enhanced through the release of at least 150 purebred Siamese crocodiles to the wild by 2025.
 2. Local communities living close to at least 5 key crocodile sites contribute to the protection of those sites, including through participation in active patrolling, undertaking at least 5 patrol days per month at each site.
 3. The aggregated number of hours of fishing in 3 sites (number of household beneficiaries x average time spent fishing per year per household) is reduced by 10% by 2025 compared to 2021 baseline.
 4. The number of households in proximity to re-established wild Siamese crocodile populations demonstrating improved understanding that the Siamese crocodiles are rare, protected by law, and a national priority species for conservation increases by 50% by 2025.
 5. Improved understanding of the post-release survival rate and movements of crocodiles, to inform release programme and management efforts, based on telemetry data, with results published in peer-reviewed journal by end of project.
- Potential negative impact:
 1. Increased numbers of crocodiles could lead to increased incidence of human-wildlife conflict, and thus retaliation actions against crocodiles
 2. Increased signage near the sites could alert poachers to the locations of the crocodiles
 3. Increased local awareness of crocodiles and their nesting grounds could lead to increased awareness of the value of crocodiles to poachers, thus further increasing the risk of poaching.
 4. A reduction in fishing activity could shift the ecological balance of the freshwater system

Further mitigation measures to address remaining impacts are given in the next section of this document.

E. Measures to assist the affected persons

1. Siamese crocodiles are extremely shy and there are no known records of attacks to humans, therefore the risk of human-wildlife conflict is very low. This risk will be further mitigated by prioritizing remote sites with no or little human habitation, and by ensuring that free, prior and informed consent is obtained from local communities.
2. Increased patrolling (project component 2), and monitoring of patrol activities, will act as a deterrent to potential external poachers

3. Building awareness of the crocodiles with the local communities (project component 3), including awareness of their protection under law, will act as a deterrent to potential poaching activities
4. Over-fishing is currently a threat to the crocodiles and the wider ecosystem; while a negative impact is a possibility, it is more likely to be an environmental benefit in reducing an existing anthropogenic pressure. The project has a strong focus on monitoring (project component 4). As an apex predator, crocodile health and survival rates are a good indicator of freshwater ecosystem health.
5. Development of livelihoods will help affected households be more food and income secure through rice production and chicken raising. Chicken raising will give an alternative source of protein to target communities to replace fish and mitigate against any loss of food security arising from reduced fishing practices.

F. Conflict resolution and complaint mechanism.

All projects that trigger a safeguard must provide local communities and other relevant stakeholders with a means to raise a grievance with the grantee, the relevant Regional Implementation Team or the CEPF Secretariat.

This grievance mechanism must include, at a minimum, the following elements.

- Email and telephone contact information for the grantee organization.
- Email and telephone contact information for the CEPF Regional Implementation Team.
- The email of the CEPF Executive Director: cepfexecutive@conservation.org
- A statement describing how you will inform stakeholders of the objectives of the project and the existence of the grievance mechanism (e.g., posters, signboards, public notices, public announcements, use of local languages).
- You should include the following text, exactly, in any grievance mechanism: “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.”

Following the guidance above, describe the grievance mechanism that you will use.

This grievance mechanism applies to the CEPF funded project implemented in Cambodia by Fauna & Flora International from 2021 to 2024. Communities and project stakeholders will be informed about the project objectives and activities through various meetings and consultation workshops. Free Prior and Informed Consent will be obtained before implementing any activities. A grievance mechanism is a process to consider any complaint, comment, question, concern or suggestion related to the project, its implementation, and its impact raised by stakeholders, direct and indirect beneficiaries. The access to the grievance procedure must be free, open, easy, and shared at project sites, all grievances must be addressed. The procedure can be done through various methods: orally, text messages, social media, online form, or hard copy form. Then each grievance is recorded into a log book, template below, and addressed by the person in charge of it after acknowledging the complainant within a period of 10 days maximum. Anonymous complaints will not be considered, but complainants’ identities will be kept confidential if requested when submitting a grievance. Ineligible complaints include:

- Complaints with respect to actions or omissions that are the responsibility of parties other than FFI or project partners under its authority.

- Complaints submitted:
 - After the date of official closure of the project; or
 - 18 months after the date of the official closure of the project in cases where the complaint addresses an impact resulting from project activities that was not, and reasonably could not have been, known prior to the date of official closure.
- Complaints that relate to the laws, policies, and regulations of the country, unless this directly relates to the entity’s obligation to comply with ESMS principles, standards and procedures.
- Complaints that relate to CEPF non-project-related housekeeping matters, such as finance, human resources and administration.
- Complaints submitted by the same claimant on matters they submitted to the grievance mechanism earlier, unless new evidence is provided.
- Complaints that relate to fraud or corruption or to the procurement of goods and services, because they fall under different mechanisms.

The complaints should be submitted to a contact person well-identified and involved in the project in each area according to the public grievance form, template below. This person is part of the FFI project team. Within 15 days an answer should be sent to the complainant who acknowledge its reception in the grievance log book. In case the response to the grievance is not satisfactory for the complainant, the complaint should be addressed directly to the CEPF Executive Director at cepfexecutive@conservation.org or by surface mail. For some grievances, the project team may establish a conflict resolution committee involving project team, local authorities, community representatives, community protected area representatives, and CEPF representatives.

Grievance log book

This information will be held on an excel file, accessible by FFI project Team and CEPF.

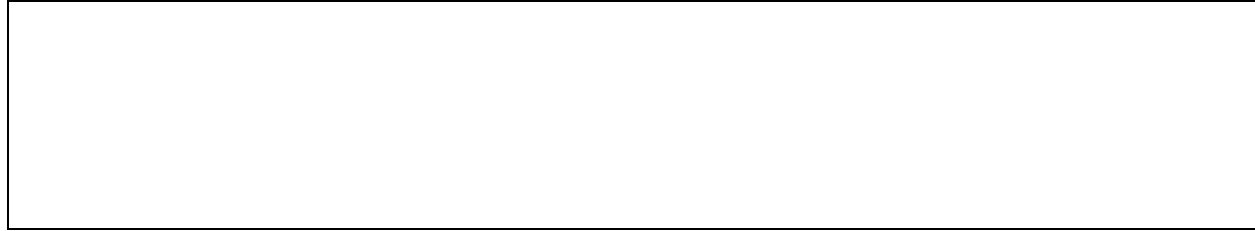
Date reported	Reporting format (in person, email, phone call, letter, other)	Name/s of complainants	Address/es of complainant /s	Contact information of the complainants	Grievances				
					Brief description of the complaint	Location and time of occurrence	Explanation of the complainants’ claim	Follow up Actions	Status (closed / Open)

FFI staff details			Reference Documents (letter, minutes of conversation etc.)	To be filled in by Flagship Species Manager	
Who from FFI reviewed the complaint	Date that FFI staff reviewed the complaint	Date when FFI staff contacted the complainant for follow up		Description of the Code of Conduct policies and procedures that have not been complied with	Explanation of how the complainants’ claim has arisen due to unforeseen circumstances

Public Grievance Form

This public grievance form will be available in Khmer in the FFI office (Koh Kong and Phnom Penh), and from each commune office. Signboards will identify where individuals can access the Public Grievance Form, along with the contact details of FFI staff for whom complaints can be addressed. The individual submitting the form will have the option of completing it themselves, or working with the FFI staff identified below to complete the form.

Public Grievance Form	
Reference No. (assigned by FFI):	
<p>Please enter your contact information and grievance. This information will be dealt with confidentially. Please note: If you wish to remain anonymous, please enter your comment/grievance in the box below without indicating any contact information – your comments will still be considered.</p> <p>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.</p> <p>The CEPF Regional Implementation Team can be reached out by phone +66 2 662 4029 or e-mail at CEPF-Indoburma@iucn.org.</p>	
Full Name	
Anonymous submission	<input type="checkbox"/> I want to remain anonymous
Please mark how you wish to be contacted (mail, telephone, e-mail).	<input type="checkbox"/> By mail (please provide mailing address): _____
	<input type="checkbox"/> By telephone (please provide telephone number): _____
	<input type="checkbox"/> By e-mail (please provide e-mail address): _____
Preferred language for communication	<input type="checkbox"/> Khmer <input type="checkbox"/> English <input type="checkbox"/> Other, please specify: _____
Description of incident or grievance:	What happened? Where did it happen? Who did it happen to? What is the result of the problem?
Date of incident/grievance: _____	<input type="checkbox"/> One-time incident/grievance (date _____) <input type="checkbox"/> Happened more than once (how many times? _____) <input type="checkbox"/> On-going (currently experiencing problem)
What would you like to see happen to resolve the problem?	



Please return grievance form to:

Sam Han - FFI CCP Manager - 012 920 733 / 016 82 67 97 - Han.Sam@fauna-flora.org; or

Hor Leng – FFI CCP Coordinator - 011 233 372 - leng.hor@fauna-flora.org; or

Hok Sokneou – FFI Veterinarian Officer – 096 757 4407 / 098 282 807 - sokneou.hok@fauna-flora.org; or

Chum Serie Wathana – FFI Livelihood Project Officer - 096 753 2477 - serie.wathana.chum@fauna-flora.org.

G. Implementation Arrangements

Description of roles and responsibilities concerning project implementation of different stakeholders, including the grantee, affected communities, and relevant government agencies:

The FFI project team will lead project management and implementation and provide technical guidance.

The Forestry Administration, as an integral part of the Cambodian Crocodile Conservation Project (CCCP), will provide additional technical expertise, overall government-level engagement, and be responsible for transport of crocodiles. The Forestry Administration additionally manages Phnom Tamao Wildlife Rescue Centre, where the Siamese crocodile conservation breeding facility is located.

The Ministry of Environment, responsible for the management of protected areas in Cambodia, will facilitate selection of new sites within protected areas, as well as coordination with park rangers for enhanced protection of the sites, and will additionally use data resulting from the project to inform the management of protected areas.

The Fisheries Administration will facilitate liaison with commercial crocodile farms for the sourcing of crocodiles for potential incorporation into the breeding and release programme.

Local communities living near release sites will engage in determining how activities are implemented and in the patrolling of key sites, as well as beneficiaries of the project's livelihood-strengthening component. The FFI project team will implement the livelihood development and community awareness activities in partnership with target communities. The project will engage local communities in all the activities including community patrolling, community and school awareness, and improvement of livelihoods as suggested by target communities during a participatory workshop on pathway, visioning, and scenario in 2020. The approach with communities will be based on three pillars of focus:

- Empowerment: Engagement of the community in the protection of Siamese crocodile habitat through patrolling;
- Conservation and Biodiversity: Increasing awareness of the value of PAs and rainforest conservation in terms of natural capital with the additional benefits for biodiversity;

- Financial Resilience: Supporting sustainable livelihoods options to enable local communities to be less dependent on wild natural resources.

The FFI project team will be in charge of implementing and monitoring all the social safeguard tools (e.g., stakeholder engagement plans, Free Prior and Informed Consent processes, and grievance mechanism) in partnership with project stakeholders, in particular target communities and government agencies.