

Process Framework for Involuntary Restrictions

Date: 1.1.2018

CEPF Grant 103508

Grantee

***Project Title: Ecological Conservation and Community Development Pilot around
AlaungdawKathapa National Park***

Project Location: AlaungdawKathapa National Park, Sagaing Region, Myanmar

Grant Summary

1. Grantee organization: Myanmar Environment Institute
2. Grant title: Ecological Conservation and Community Development around Alaungdaw Kathapa National Park
3. Grant number : 103508
4. Grant amount (US dollars). 75000 USDs
5. Proposed dates of grant.1.1.2017
6. Countries or territories where project will be undertaken. Myanmar
7. Date of preparation of this document. 1.1.2017

A. Project background

Myanmar is one of the most important biodiversity hotspots around world. As one of the highly prioritized KBAs, Alaungdaw Kathapa National Park is located in Sagaing Region. The national park is famous for its diverse floristic composition and ample sources of habitats for wild animals. Because of the abundant natural resources, Alaungdaw Kathapa NP is facing threats such as poaching, especially for mammals and plants including threatened plant and animal species. Meanwhile, the village people living in the peripheral zone (potential buffer zone) and near the area rely on the agriculture particularly paddy, pulse and bean production, and some generate the family income by extracting the forest resources. Moreover, while local forestry departments were managing the park with lots of effort, it was still really difficult to achieve the conservation goal without the involvement of civil society and local communities.

Thus, in December 2016, MEI and three NGOs started a joint project with funding from the US-based blue moon fund through the Global Environmental Institute (GEI), a Chinese environmental NGO, to conserve ecosystems in Myanmar. MEI conducted pilot projects in two communities in Yinmarpin Township, Sagaing Region using Community Conservation Concession Agreement (CCCA) model during that program. CCCA model was introduced to Myanmar by GEI, aiming to eliminate major threats to Myanmar's diverse ecosystems by mainstreaming local communities' participation in conservation, while developing sustainable alternative livelihoods.

MEI's project efforts, as the 1st phase towards buffer zone forest conservation via CCCA, has successfully managed to empower the two communities to conserve 800 acres (324 hectares) of forests and to reduce poaching and orchid hunting events by remarkable percent; however, the project is as mall-scale project and could only impact 2600 people. Meanwhile, as the project turns out to be effective, government policymakers and research institutions should be engaged in the next in order to further promote such community-based conservation approach and inform Myanmar's conservation policies. MEI is fully registered as a legal NGO in Myanmar and it is extremely necessary to conduct a series of capacity buildings on organization management, project design and project cycle management for MEI.

Even though we received really positive results from phase I, these threats listed above are still waiting to be eliminated to conserve natural resources in Alaungdaw Kathapa NP. Without the 2nd phase to engage more communities and involve different stakeholders through MEI's project, local forestry department will be the only one responsible for Alaungdaw Kathapa's conservation work, which is really limited for a park with such abundant natural resources and areas of 1,605 square kilometers. As the one of the last safe heavens for many species, Alaungdaw Kathapa's degradation could cause catastrophic impacts on Myanmar's biodiversity.

Project objectives:

1. Enhance the ability of MEI and communities on ecosystem conservation to better carry out community conservation-related work;
2. Mainstream community participation in conservation to achieve better conservation results
3. Involve government and other stakeholders to strengthen coordinated conservation efforts in Myanmar, as well as share knowledge and learning.

Component and project activities

1. Enhance MEI's capabilities in CCCA and project management
 - 1.1 Organize and participate in Myanmar NGOs' CCCA training workshop (Joint activities with GEI and 3 other NGOs)
 - 1.2 Invite experts from GEI to provide capacity building for project cycle management (Joint activities with GEI and 3 other NGOs)
- 2 Expand projects to a larger scale with more communities involved
 - 2.1 Conduct baseline surveys
 - 2.2 Based on CCCA training materials from GEI and CSP, develop a Burmese version for local communities (Joint activity with NGO partners)
 - 2.3 Facilitate CCCA signing for 4 more communities in villages near AlaungdawKathapa NP
 - 2.4 Using developed materials, conduct trainings and workshops for all communities
 - 2.5 Assist communities to develop and implement their own conservation plan
 - 2.6 Coordinate and monitor all project communities
- 3 Provide policy recommendation based on experiences and knowledge from CCCA approach
 - 3.1 Develop standardized evaluation index and invite GEI as the third party to conduct project monitoring and evaluation (Joint activity with three NGO partners)
 - 3.2 Organize CCCA experience-sharing seminar to summarize performance evaluation results (Joint activity with three NGO partners)
 - 3.3 Develop results into a report (Joint activity with three NGO partners)
 - 3.4 Organize a seminar and invite government and stakeholders to discuss developed report (Joint activity with GEI and three NGO partners)
 - 3.5 Based on the report, prepare a policy recommendation to promote CCCA for Myanmar ecosystem conservation (Joint activity with three NGO partners)

The critical factors that will influence the achievement of project include:

1. In order to scale up project coverage and impacts hence contribute to Myanmar's ecosystem conservation, MEI will be working with three other local NGOs to form joint efforts. Strong coordination among all organizations are critical in achieving success in the project, particularly in terms of policy recommendations and stakeholder involvement. Lack of effective coordination capacity among Myanmar local NGOs may pose a threat to the project. To address this risk, MEI and other three NGOs would invite GEI to continue with its effective coordination works with Myanmar organizations from phase I.
2. MEI anticipated to expand three more community projects using CCCA model. Since CCCA model is an innovative idea and is still new to most of Burmese, especially to rural communities, there is a risk for MEI if CCCA model cannot be fully accepted by all of them. To reduce this risk, MEI will collaborate with GEI and other three partners to share experiences, particularly GEI's past experiences localize the model from South American to China, and to communicate with communities thoroughly about CCCA to gain their understanding and participation.

B. Participatory implementation

The major scheme of the community-based conservation is the voluntary participation by the villagers. Community members will conduct the conservation activities that increase conservation and protect forest cover. The proposed scheme will be conducted with the voluntary agreement and participation with the target villages. Meetings will be held with community leaders and members at the commencement of the proposed roadmap process, and the scheme will only be conducted in communities for which agreement is freely given.

The information obtained during the surveys, along with the existing participatory boundary demarcation and land use zoning, will provide an in depth understanding of (a) the cultural, social, economic, and geographic setting of the communities in the project areas; (b) the types and extent of community use of natural resources, and the existing rules and institutions for the use and management of natural resources; (c) identification of village territories and customary use rights; (d) local and indigenous knowledge of biodiversity and natural resource use; (e) the threats to and impacts on the biodiversity from various activities in the area, including those of local communities.

The success of the project is dependent on community acceptance and involvement, especially in terms of forest protection. Therefore, participatory implementation of this programme is critical and will be ensured through the roadmap steps. Once voluntary participation and agreement has been confirmed, a village development committee will be established. At various stages of the implementation however, a broader group of community members will be required to participate in various activities. Much of the social and natural resource use information required for this process will be identified during the Participatory Resources Assessment.

Community Conservation Concession Agreement (CCCA)

The ecosystem is experiencing a serious problem or complication. The key issues affecting the community are related to environment or conservation. The local people must be willing and able to be the main participants in the conservation activities. The local people must obtain benefits from their conservation activities.

CCCA is an improved and innovative mechanism of ecological conservation. It was established in South America and brought to China by GEI 10 years ago.

Concept: The concept of the CCCA is to bring stakeholders (e.g. government departments, enterprises, local communities, individuals and etc.) together to sign a contract on how to act within the protected areas. According to the contract, stakeholders are empowered to share the protection rights and limited exploration rights of the natural resources in the area.

Objectives: It is to balance environmental conservation and economic development in local area; to solve the conflicts among governmental agencies, companies and local residents; to alleviate human impacts on forests and vegetation; and to reduce ecosystem degradation.

Principles of CCCA

1. Balancing resource exploitation, environmental conservation and interests of local communities.

--- *conservation becomes economical activity.*

2. Increasing the effectiveness of ecological conservation funds and diversifying funding resources.

- *funding based on agreements.*
3. Achieving co-management.
--- *local people play a leading role on conservation.*
4. Local people benefit from conservation activities.

8 Steps for CCCA

- Conduct a baseline survey to find problems
- Identify needs of the communities and project goals
- Sign CCCA contract with local communities
- Help communities make plans [participatory approach (PA)]
- Establish *Community Conservation and Development Fund*
- Conduct training and capacity building: conservation & livelihood
- Make business plans and marketing for community green products
- Conduct monitoring and evaluation --- policy suggestions

C. Criteria for eligibility of affected persons

The proposed project focuses to protect the buffer zone forest of the Alaungdaw Kathapa National Park and to implement reforestation along with the community development programme. Community Conservation Concession Agreement (CCCA) model will be used in conducting the project. However, through the CCCA approach, it is determined that some people may be impacted by the change in many aspects particularly in their socio-economic conditions and livelihood. This impacts will be mitigated ensuring their participation in the project implementation and will focus on alternative income generation.

The project team will work with the village development committee to determine which households or families may be impacted by the measures. MEI will organize these people to sign the CCCA agreement and to perform in the present project activities. The threats of the forests of Alaungdaw Kathapa National Park are the overexploitation of peripheral zone (potential buffer zone) and protected zone forests by some villagers in collaboration with the wildlife and wild plant traders, although the forests are protected by the government authorities. The persons who are conducting the activities concerned with unsustainable and illegal activities such as illegal commercial logging, wildlife poaching and other destructive natural resource use methods will be screened and excluded from the assistance to the present project.

D. Measures to assist the affected persons

One of the main activities of the present project is to assist the affected people and income generation opportunities will be provided by the proposed project. The affected people will be discussed to understand their priorities of livelihood so that they can be supported by the project effectively.

These income generating activities will include:

1. Indirect benefits through the community development activities supported through the their livelihood sectors; training on agriculture, livestock breeding and apiculture sectors and distribution of high-yield crop seeds, commercial plant seedlings and livestock.

2. Direct payments through participation in reforestation activities, and for participation in community protection and patrolling activities; Community conservation fund will be set up as mentioned in CCCA model.

E. Conflict resolution and complaint mechanism.

The proposed project activities will support the ecological and biodiversity conservation through participation of the locals. Protection of threatened plant and animal species will be improved by conserving the protected area system of the Alaungdaw Kathapa National park. The proposed project aims to get a positive results with no adverse impacts on environment and communities. The development of the conflict resolution and a complaint mechanism will commence after initial agreement for participation in the project activities. The mechanism will be developed in consultation with communities and government but will include:

1. an impartial, accessible and fair mechanism for raising grievances and complaints
2. a method / procedure for the resolution of conflicts and redress
3. an independent third party mediator when a conflict cannot be resolved in the first instance.

It is important that the stakeholders get the information and understand the objectives of the proposed project and its objectives. It is predicted that the project can get more participation when the stakeholders understand the project and its objectives. For this, posters and signboards will be set up in and around the five villages. In this posters and signboards, the contact email address, phone numbers and postal address of MEI will be mentioned. As other options, the email addresses of CEPF Regional Implementation Team at MERN (Mr. Aung Thant Zin) and World Bank office address in Yangon will be mentioned in the posters and signboards. If there are people who are not satisfied with the project and if they wish to raise the grievances, they will have a chance to raise the complaints. In addition, the email address of CEPF Executive Director; cepfexecutive@conservation.org will be described in the posters and signboards; if any of them wish to register a grievance but don't feel comfortable raising it with MEI, they have different options.

MEI 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 Yangon office.

F. Implementation Arrangements

MEI is undertaking the pilot project at two communities around AlaungdawKathapa National Park in collaboration with Global Environmental Institute (GEI). The coordinate joint efforts provide expertise in organizational and project management, CCCA localization, platform establishment and coordination, as well as government liaison and policy recommendation.

The key project partners include local communities, union level and regional Governments, the Forest Department, and GEI. In addition, the CEPF will provide resources to conduct the project. All key project partners will have roles and responsibilities in the implementation of the project:

Local Communities: There are 5 target villages , which are located in the peripheral zone (potential buffer zone) area of the Alaungdaw Kathapa National Park. All these villages will be

directly involved in the project implementation, and responsible for the forest protection. The direct and immediate benefits to these local communities are the livelihood support programmes of agriculture, livestock breeding and apiculture. The local communities will receive training and technical support in conservation and livelihood in alignment with the CCCA model approach.

Government: The Sagaing Regional Government will be strong supporter of this project. At the national level, the Ministry of Natural Resources and Environmental Conservation (MONREC) is responsible for the management of protected areas and natural resources, as well as for developing policies, laws and regulations that determine the institutional context in Myanmar, including land, forestry and investment regulations, and emerging National strategies and policies.

MEI: MEI will provide overall project implementation management, and will be ultimately responsible for the delivery of the project components, deliverables, and activities. MEI will provide key project technical and management staff for the implementation, and support the training required for the activities. MEI will also be responsible for monitoring the progress of this process framework, through the inclusion of key measures in the performance deliverables for the project proposal.

GEI: Global Environmental Institute (GEI) from China will provide the procedure of Community Conservation Concession Agreement (CCCA) model approach in conservation and community development. Curriculum and training materials will be developed with other 3 NGO partners with the support from GEI. Capacity of MEI related to management of the project, project implementation and monitoring programme will be enhanced by GEI.