

Process Framework – Template

A Process Framework is prepared when UNDP-supported projects may cause restrictions in access to natural resources in legally designated parks and protected areas. The purpose of the process framework is to establish a process by which members of potentially affected communities participate in the design of project components, determination of measures necessary to address the requirements of SES Standard 5, and implementation and monitoring of relevant project activities.

The level of detail of the Process Framework may vary depending on project activities, characteristics of restrictions and their impacts, and the number of persons affected. The Process Framework supplements the project's environmental and social assessment with a participatory framework focused on the potential impacts of access restrictions.

Specifically, the Process Framework should include the following elements:

1. *Project background:* Briefly describe the project and components or activities that may involve new or more stringent restrictions on natural resource use.
2. *Participatory implementation:* Describe the process by which potentially displaced persons will participate in determining potential access restrictions, mutually acceptable levels of resource use, management arrangements, and measures to address impacts on affected communities. The roles and responsibilities of stakeholders and the methods of participation and decision-making should be described; decision-making may include the establishment of representative local structures, the use of open meetings, and involvement of existing local institutions, being sure that marginalized/vulnerable groups (such as women and youth) are able to participate in decision-making processes. Methods of consultation and participation should be in a form appropriate for affected communities.
3. *Potential impacts:* Describe the process by which potentially affected communities will be involved in identifying any adverse environmental and social impacts associated with project activities, including:
 - the types and extent of community use (and use by men and women) of natural resources in relevant areas, and the existing rules and institutions for the use and management of natural resources, including customary use rights.
 - the threats to and impacts on the relevant areas from various activities in the area of local communities and other stakeholders (e.g. external poachers and traders, development activities);
 - the potential livelihood impacts on men and women of new or more strictly enforced restrictions on use of resources in the area.
4. *Eligibility criteria:* The eligibility criteria would determine which groups and persons are eligible for assistance and mitigation measures while discouraging ineligible persons, such as opportunistic settlers, from claiming benefits. That is, the criteria may exclude certain affected persons or groups from assistance because their activities are clearly illegal, unsustainable and destructive (e.g., wildlife poachers, dynamite fishers). The criteria may also distinguish between persons utilizing resources unsustainably and opportunistically, and others using resources for their livelihoods, and between groups with customary rights and non-residents or immigrants. The criteria need to account for variations in seasonal use of lands by local communities and pastoralists. The eligibility criteria should also establish a cut-off date.
5. *Measures to assist affected persons to improve their livelihoods:* Describe methods and procedures by which communities will identify and choose potential mitigating or compensating measures to be provided to those adversely affected, and procedures by which adversely affected community members will decide among the options available to them. The measures will seek to improve livelihoods in real terms to pre-displacement levels, while maintaining the sustainability of the park or protected area. However, in some circumstances affected communities may agree to restrictions without identifying one-for-one mitigation measures as they

may see the long-term benefits of improved natural resource management and conservation. Possible measures may include:

- special measures for recognition and support of customary rights to land and natural resources
- transparent, equitable, and fair ways of more sustainable sharing of the resources
- access to alternative resources or functional substitutes
- alternative livelihood and income-generating activities
- health and education benefits
- obtaining employment, for example as park rangers or eco-tourist guides, as well as in wider project functions, such as stakeholder engagement, technical advising or monitoring and evaluation
- technical assistance to improve land and natural resource use, and marketing of sustainable products and commodities.

6. *Conflict resolution and grievance mechanism:* Describe the process for resolving disputes relating to resource use restrictions that may arise between or among affected communities, and grievances that may arise from members of communities who are dissatisfied with the eligibility criteria, community planning measures, or actual implementation. Procedures should take into account local dispute resolution practices and institutions.
7. *Implementation and monitoring arrangements:* Describe the implementation arrangements, including activity timetable and the roles and responsibilities of different stakeholders, such as the implementing partner, affected communities, and relevant government agencies. Provide clear delineation for administrative and financial responsibilities under the project. Describe arrangements for participatory monitoring of project activities and the effectiveness of measures taken that seek to improve incomes, livelihoods and living standards.
8. *Costs and budget:* An appropriately costed plan, with itemized budget sufficient to satisfactorily undertake the activities described, including financing for livelihood enhancement measures, participatory processes, implementation and monitoring arrangements. List sources and flow of funds.