

PART III – INDIGENOUS PEOPLES POLICY FRAMEWORK

1. Introduction

Given that the project itself benefits the indigenous population, no separate Indigenous Peoples Development Plan (IPDP) is required. Instead, the key elements of an IPDP have been integrated in the project design. Moreover, strong community support at the project level has been evident during the community consultations carried out as part of the EA and SA, and during the three years of project implementation. During project preparation numerous meetings were conducted with farming communities, local level government representatives, grower associations and cooperatives, youth and women's groups, extension workers, the private sector, and other relevant stakeholders in East New Britain and Eastern Highlands Province, as part of the Social Assessment.

Given the demand-driven nature of the actual project intervention, DAL has prepared a Beneficiaries Participation Framework (BPF) which lays out the process for community consultation during the project cycle. The BPF outlines participation strategies for implementation and management and monitoring and evaluation. The BPF is supplemented by Guidelines for Preparing and Implementing Public Consultation and a Consultation Framework for Partnerships which are currently in use to guide lead partners in their engagement with the farming communities. A separate Consultation Framework for Infrastructure was also developed for use in Component 3.

To ensure free and prior informed consultation (FPIC) are undertaken and broad community support (BCS) is achieved for each Partnership and Infrastructure under Component 2 and 3 respectively, a Beneficiaries Participation Framework (BPF) and the Consultation Guidelines have been developed. These were supplemented by a more detailed Consultation Frameworks developed during the project implementation. For the Additional Financing, these documents have been consolidated into Indigenous Peoples Policy Framework. The IPPF provides guidelines on how to undertake FPIC and achieve BCS and identifies evidentiary documents to be secured.

2. Key Requirements of OP/BP 4.10

The key requirement of OP/BP 4.10 is that interventions should undergo free and prior informed consultation resulting in broad community support.

Free and Prior Informed Consultation - Free and Prior Informed Consultation is consultation that occurs freely and voluntarily, without any external manipulation, interference, or coercion, for which the parties consulted have prior access to information on the intent and scope of the proposed project in a culturally appropriate manner, form, and language. In the consultation process, the following therefore should be observed:

- a. Attendance to dialogues and meetings should be voluntary – This means that:
 - Community members should not be coerced into attending meetings/dialogues
 - Meetings/dialogues announcements should have sufficient lead times
- b. Prior access to information in a culturally appropriate manner - Prior to consultation, adequate information/awareness drive about the PPAP's objectives and scope should

be conducted among the members of the community in local dialect or in language that is widely understood by the members of the community.

- c. Community members should be given sufficient time to understand the project and should be allowed to internally discuss among themselves without any representative from the lead partner or the PPAP if they wish so.
- d. In the conduct of consultation one must:
 - Use approaches recognize existing/traditional community organizations councils of elders, headmen, and tribal/clan leaders, and established processes
 - Conduct consultation over a sufficient period and allows for an iterative process of incorporate concerns and recommendations into the partnership design/activities
 - Pay special attention to women and youth and ensure that their concerns are taken into consideration in the proposed partnership design/activities
 - A record/documentation of the consultation process should be maintained

Broad Community Support – Broad community support means that the great majority of the members of the community, including those not directly benefited from the project, support the project interventions.

- a. Members of the partner farmer groups should individually sign the partnership agreements.
- b. Local ward councils of communities affected/benefited by the infrastructure should formally endorse the project interventions in their areas.

2. Consultation Process and Requirements for Component 2 (Productive Partnerships)

2.1 Consultation Process in Productive Partnerships

The following will guide lead partners in their engagements with the beneficiary communities to ensure that partnerships undergo free and prior informed consultation and achieve broad community support.

Steps and Timing

Concept Note Preparation Phase

Note that the farmer group/community may have already been reached by the PMU information campaign and may have already approached the Lead Partner. In such a case, Step#1 should be undertaken to learn more about the farmer/group community.

Step #1: Preliminary Contact. Contact the relevant ward councils and/or traditional leaders (elders, cooperative society presidents, etc.) and discuss the PPAP project and intent to enter into partnership with coffee/cocoa growers. With the leaders, identify the community stakeholders. Take note of the majority and minority ethnic groups, clans, youth, and women groups in the community. Quickly understand their history, established processes, if any, and other cultural idiosyncrasies that are relevant to the consultation and decision making process.

At this point, the lead partner may already inform the leaders of possible preparation activities that community may need to undertake in order to participate in the project such as organizing into a cooperative society, etc.

Step #2: Consultation Plan. Prepare a Consultation Plan, including the roles of community leaders, the main information drive and consultation approaches to be used (Note that direct dialogue is preferable strategy, if it does not contravene traditional or culturally established ways) and budget.

Detailed Proposal Preparation Phase

Step #3: Information Drive. Agree with community leaders on the conduct of information drive in the community. If a dialogue is preferred, set the date and venue with the leaders. The information drive should explain the general concept, objective, scope of the partnerships. Answer questions and gather initial views and take note of the issues raised and/or requests.

After the information drive, the following documents should be on file:

- Information drive materials
- Dated photographs of information drive sessions
- Dated attendance sheet indicating tribe/clan/group affiliation and gender
- Initial list of issues, concerns and clarifications

Step #4: Consultation Proper. Agree with community leaders on the date and venue of consultation. All consultation meetings should start first with the presentation of latest version of the draft partnership proposal followed by open forum.

After the consultation, the following documents should be on file:

- Dated Minutes or Matrix of issues and concerns who (i.e. what sector) raised them, and how they were addressed
- Dated attendance sheets indicating gender, tribe/clan/group affiliation of attendees and their signatures

Step #5: Proposal Revision/Finalization. Revise the partnership proposal incorporating the views and concerns of the community. Repeat Step #4 until consensus is achieved.

Step #6: Signing of Partnership Agreement.

After the signing of the partnership agreement, the following document should be on file:

- Signed Partnership Agreement
- Certification of broad community support by the local ward

Implementation Phase

Step #7: Conduct periodic dialogues with beneficiaries and other stakeholders on the progress and achievements of the partnership.

Step #8: With PMU, set up a grievance mechanism for the community members.

Documentary Requirements

The following documents should be submitted to the PMU as part of the partnership proposal package:

1. Information drive materials in English and local dialect
2. Dated attendance sheets indicating gender and ethnic/tribe/clan affiliation
3. Dated minutes or List of issues, concerns and/or clarifications and how they are being addressed
4. Partnership agreements in local dialect individually signed by beneficiaries

The following documents are optional and may be required only at the discretion of the PMU:

5. Certification from the local Ward Council of broad community support or alternatively, a formal manifestation of support signed by leaders of various sectors in the community including those that are not directly part of the partnership.
6. Dated photos of the dialogues undertaken.

2.2 Consultation Process in Market Access Infrastructure

The following will guide the PMU Infrastructure Team in their engagement with the affected/beneficiary communities to ensure that Market Access Infrastructure undergo free and prior informed consultation and achieve broad community support.

Concept Note Preparation Phase

Step #1: Preliminary Contact. Contact the relevant ward councils and/or traditional leaders (elders, cooperative society presidents, etc.) of the affected/benefited communities and discuss with them the PPAP project and intent to rehabilitate/construct infrastructure. With the leaders, identify the community stakeholders.

Step #2: Consultation Plan. Prepare a Consultation Plan, including roles of community leaders, the main information drive and consultation approaches to be used (Note that direct dialogue is preferable strategy, if it does not contravene traditional or culturally established ways) and budget.

Detailed Proposal Preparation Phase

Step #3: Information Drive. Agree with community leaders on the conduct of information drive in the community. If a dialogue is preferred, set the date and venue with the leaders. The information drive should explain the general concept, objective, scope of the PPAP project. Answer questions and gather initial views and take note of the issues raised and/or requests.

After the information drive, the following documents should be on file:

- Information drive materials
- Dated photographs of information drive sessions
- Dated attendance sheet indicating tribe/clan/group affiliation and gender
- Initial list of issues, concerns and clarifications

Step #4: Consultation Proper. Agree with community leaders on the date and venue of consultation. All consultation meetings should start first with the presentation of the planned infrastructure subproject (e.g. for feeder roads its length, alignment, design and type of rehabilitation, ROW needs, etc.).

Note that for land for site/ROW concerns, the PMU Engineering should emphasize that the infrastructure project is for the benefit of the communities themselves and hence, they need to settle the site/ROW among themselves. The PPAP project will only fund the infrastructure if the site/ROW is voluntarily offered/ donated for the subproject. The PMU should ensure that site/ROW is voluntarily offered by their owners to the community.

After the consultation, the following documents should be on file:

- Dated Minutes or Matrix of issues and concerns who (i.e. what sector) raised them, and how they were addressed
- Dated attendance sheets indicating gender and community affiliation

Step #5: Design Finalization. Revise/modify the proposal incorporating the views and concerns of the community such as road alignment, etc. Repeat Step #4 until a general consensus is achieved.

At this point, the PMU Engineering shall have already completed the physical survey of the site and/or alignment of the market access infrastructure and finalize the inventory of affected land parcels and structures.

Step #6: Broad Community Support. Secure evidence of community acceptance and support. Also secure voluntary waivers for the infrastructure site and/or right-of-way (ROW).

The following document should be secured:

- Certification of broad community support by the local ward councils
- ROW waivers by owners executed in favor of the communities (represented by the ward councils or LLG). The ROW waivers could be a group waiver signed voluntarily by all owners of affected lands and may include quit claims for standing crops and other physical assets on the affected land.

Implementation Phase

Step #7: Conduct periodic dialogues with beneficiaries and other stakeholders to update them on the progress, issues and constraints in the implementation of the infrastructure.

Step #8: Set up a grievance mechanism for the affected/benefited communities.

Documentary Requirements

The following documents should be submitted to the PCU as part of the infrastructure proposal package:

1. Information drive materials in English and local dialect
2. Dated attendance sheets indicating gender and ethnic/tribe/clan affiliation
3. Dated minutes or List of issues, concerns and/or clarifications and how they are being addressed
4. Endorsements by all the Ward Councils of the affected/benefited communities or alternatively, a formal manifestation of support signed by leaders of various sectors in the affected/benefited communities.

5. Group Site/Right of Way (ROW) waivers signed by affected landowners/occupants of affected lands. Note that the waivers should preferably be later be covered by Change of Tenure document.

3. Guidelines for Preparing and Implementing Public Consultation

The purpose of community involvement is not to find the 'right' answer from the community, but to engage the community in the sub project so that they can share ownership and to give them the opportunity to inform the design process. It will also give the community the comfort of knowing early on in the process the mechanism through which affected individuals/households will be treated. In developing a strategy for public involvement there are a number of key issues that must be considered:

- Ensure that community members were not coerced into attending the meeting, that they were given sufficient time to attend the meeting, and that the meeting participants are representative of the community.
- Define goals clearly
- Provide clear details on the project in a culturally-appropriate fashion.
- Explore whether or not there is broad community support for the project. If there is no broad community support, the subproject will not be implemented.
- Secure commitment to effective implementation
- Plan consultation timing and phasing
- Provide adequate resources
- Be aware of site specific sensitivities
- Be aware of the historical context
- Recognize the interest of developers/operators
- Be prepared to hear different views.
- Be prepared to integrate views into project design.

In planning for the process of a public involvement program, the following principals must be followed:

- Identify all stakeholder groups. Who will be affected directly and indirectly? Who else might have an interest or feel that they are affected?
- Identify the key issues around which public involvement will be required. These key issues would include:
 - environmental and social issues or decisions at stake
 - key organizations and interested parties involved
 - local authorities and the agencies involved
 - size of the issue or importance of the decision
 - urgency and time frame
- Understand the decision making process by:
 - Identifying the parties making the decisions
 - Identifying where in the project cycle decisions are made.
- Determine the necessary level of involvement. Meaningful public involvement takes place at three levels:
 - conveying information to the public

- listening to the opinions and preferences of the public
- involving the public in making decisions - The nature and size of the project, combined with both the nature and number of stakeholders and the status of national legislation, will largely define when, where, and at what level public involvement is required for an EA and the environmental management plan.
- Identify key points to be included in the public involvement process - Timely disclosure of information is key and it may be useful to develop systems to ensure that stakeholders receive information on time and in an accessible format. Whilst it is important that consultation take place before major decision points, the aim should be to facilitate consultation throughout the preparation and implementation phases. This implies that consultation will often be necessary as part of the research effort of the EA and in the development of mitigation measures during the analysis phase of the study.
- Select most effective involvement techniques to be used
- Define a communication methodology
- Develop a budget

4. Ensuring Beneficiary Participation

The following will help ensure that beneficiaries have continued participation and involvement in all stages of the PPAP that may directly impact upon them. Activities that affect beneficiaries will follow a process whereby beneficiaries participate in decisions over implementation, management, and M&E of PPAP activities.

Given the demand driven nature of the project the BPF provides general guidelines based on the following principles:

1. Stakeholders¹ will be provided with information on key PPAP activities and processes in a format and manner which is accessible.
2. Stakeholders will be provided with opportunities to contribute ideas to sub-project design so that PPAP activity outcomes are relevant, effective, and sustainable.
3. Communities will be given the opportunity to consent to or refuse assistance or support through activities. Stakeholders will be able to terminate activities at any time in the sub-project cycle if necessary.
4. Communities will be assisted to carry out monitoring and evaluation of activities after they have been completed.
5. Partnerships between civil society organizations and community based organizations will be encouraged.

In addition, PPAP recognizes the roles that women and youth play in the agriculture sector and as core members of the community. As such, community participation should include representation from both women and youth. If necessary, given the nature of power relations at the household and community level, separate discussions and/or gender-specific activities can be conducted.

¹ Stakeholders refers to smallholders, farmers groups, and/or communities in which they live.

<p>Participation Strategies: Preparation, Implementation and Management</p>	<p>Risks and Measures to Mitigate Risks and Ensure Benefits</p>
<p>Socialization: Service Providers with skills in community development and smallholder farming will work alongside village extension workers to provide smallholders, farmer groups, civil society organizations, and community based organizations with appropriate information about PPAP activities, how they might be managed, and how they might be involved and benefit from them.</p> <p>Needs assessments: Service providers will assist smallholders, farmer groups, civil society organizations, and community based organizations to identify needs and opportunities, strengths and weaknesses of their organizations. Service providers will assist farmer groups to examine what they can do for themselves, what external assistance might be required, the costs of that assistance, and how those costs may be met.</p>	<p>Low capacity of service providers: Pre-qualification would ensure service providers with skills to work with communities are used in the project. Criteria for pre-qualification could include: size or outreach, history of outreach and access to women and women’s groups; history of successful activities, governance, membership and input, history or potential to enter into partnerships.</p> <p>Exclusion of women and youth: Service providers may not have the requisite skills and gender balance to engage with female smallholders, female laborers, female community members or with the youth. Pre-selected service providers must have demonstrated experience reaching women and women’s groups and/or youth or have partnerships that enable them to reach women, women’s groups, and youth. Service providers must have sufficient women on staff to engage in outreach to communities. Women and youth organizations will be targeted for inclusion as service providers.</p> <p>Inaccessible information: Dissemination materials will be accessible to the wide range of stakeholders, taking into account high levels of illiteracy in communities and specifically among women.</p>
<p>Implementation: Public agreements between smallholders, farmer groups, civil society organizations, and community based organizations, and partners will be made before implementing activities with beneficiaries.</p> <p>Consultations with communities will be undertaken before implementing sub-projects in Component 3 (details included in the Compensation Policy Framework).</p>	<p>Lack of ownership: Beneficiaries should have responsibilities in sub-project implementation and should contribute towards costs wherever possible (in-cash or in-kind).</p> <p>Disengagement of local leadership: Local Level Governments are weak and in some instances not trusted by local residents. Inclusion of the Ward Councilors at the consultations will be necessary for their buy-in and to strengthen the relationship with the community.</p>
<p>Participation Strategies: Monitoring and Evaluation</p>	
<p>Working in pairs or teams service providers will work alongside village extension workers to train smallholders, farmer groups, civil society organizations, and community based organizations in monitoring and evaluation for PPAP activities.</p>	<p>Low capacity among industry bodies to undertake participatory M&E: Provide sufficient capacity building to key bodies to ensure they can undertake participatory M&E Training and accreditation of extension workers against the National Standard for Community Development Worker Units associated with M&E. Ensure participatory M&E activities are</p>

	<p>appropriate and frequent enough to provide timely, responsive and adaptive activity changes where necessary.</p> <p>Exclusion of women and youth: Service providers may not have the requisite skills and gender balance to engage with female smallholders, female laborers, female community members or with the youth. Pre-selected service providers must have demonstrated experience reaching women and women’s groups and/or youth or have partnerships that enable them to reach women, women’s groups, and youth. Service providers must have sufficient women on staff to engage in outreach to communities. Women and youth organizations will be targeted for inclusion as service providers.</p>
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