



uThukela MPA Ecosystem Based Management Project

Environmental and Social Management Plan (ESMP)

Wildlands Conservation Trust [WILDTRUST]

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List of Acronyms and Abbreviations

AFD	Agence Française de Developpment
Blue Action	Blue Action Fund
BMZ	German Federal Ministry for Economic Cooperation and Development
CMAs	Catchment Management Agencies
CMPs	Coastal Management Programmes
COGTA	Co-operative Governance and Traditional Affairs
DARD	Department of Agriculture and Rural Development
DEA	Department of Environmental Affairs
DEFF	National Department of Forestry, Fisheries and Environment
DWS	Department of Water and Sanitation
EBA	Ecosystem Based Adaptation
EDTEA	Department of Economic Development, Tourism, and Environmental Affairs
E&S	Environmental and Social
EFZ	Exclusive Fishery Zone
EFZ	Estuarine Functional Zones
EHSGs	Environmental Health and Safety Guidelines
EIA	Environmental Impact Assessment
EKZNW	Ezemvelo KwaZulu-Natal Wildlife
EMP	Environmental Management Plan
ERP	Emergency Response Plan
ESA	Environmental and Social Assessment
ES COP	Environmental and Social Code of Conduct
ESIA	Environmental and Social Impact Assessment
ESMP	Environmental and Social Management Plan
ESMS	Environmental and Social Management System
FPIC	Free, Prior and Informed Consent
FTE	Full-Time Equivalent
GCF	Green Climate Fund
HO	Honorary Officer
H&S	Health and Safety
ICP	Informed Consultation and Participation
ICZMA	Integrated Coastal Zone Management Act
IPs	Indigenous Peoples
IUCN	International Union for the Conservation of Nature
ILO	International Labour Organisation
DARD	Department of Agriculture and Rural Development
KZNNCA	KwaZulu-Natal Nature Conservation Act
MLRA	Marine Living Resources Act
MPAs	Marine Protected Areas
M&E	Monitoring and Evaluation
NEMA	National Environmental Management Act
NEM: ICMA	National Environmental Management: Integrated Coastal Management Act
NEMP	National Estuarine Management Protocol
NEM: PAA	National Environmental Management Protected Areas Act
NMU	Nelson Mandela University
NR	Natural Resource
OHS	Occupational Health and Safety
NDC	Nationally Determined Contribution
NGO	Non-Governmental Organisation
ORRAA	Ocean Risk and Resilience Action Alliance
ORI	Oceanographic Research Institute
OU	Oceans Unite
PAJA	Promotion of Administrative Justice Act
PAPs	Project Affected People
PF	Process Framework
PPC	Project Partners Committee
SAAMBR	South African Association for Marine Biological

SAEON	South African Environment Observation Network
SAIAB	South African Institute of Aquatic Biodiversity
SEP	Stakeholder Engagement Plan
SEWG	Stakeholder Engagement Working Group
SOPs	Standard Operating Procedures
S&T	Subsistence and Travel
ToR	Terms of Reference
UKZN	University of KwaZulu-Natal
UNDRIP	United Nations Declaration on the Rights of Indigenous Peoples
WB ESF	World Bank Environmental and Social Framework
WB ESS	World Bank Environmental and Social Standard

1 Introduction

This document is the Environmental and Social Management Plan (ESMP) for the uThukela MPA Ecosystem Based Management Project (hereafter referred to as “the Project”) and outlines the environmental and social risk management measures that WILDTRUST will implement to manage potential negative impacts and enhance potential positive impacts of the project. The ESMP will also introduce the other Safeguard Instruments to be applied in this project, which are annexes to this ESMP, and include the project’s

- Grievance Mechanism (**Annex 1**)
- Stakeholder Engagement Plan (**Annex 2**)
- Process Framework (**Annex 3**)

As such, this introductory section as well as the project description (**Section 2**) and legal framework (**Section 3**) serve as a background for the grievance mechanism and the stakeholder engagement plan. The Process Framework has been written to be a standalone document.

At this project proposal stage, this ESMP and Annexes are all provisional in nature, and are essentially framework-level plans. All of the management measures in these plans have been integrated into the project design (log frame) and budgeted accordingly.

This ESMP will then be updated and finalised within the project inception phase, which is equivalent to the first six months of project implementation.

1.1 Purpose of the ESMP

This ESMP has been developed to outline the project’s overall environmental and social risk management strategy. It is a ‘living document’ that will be regularly reviewed and updated by WILDTRUST in response to changes to the project description, changes in the WILDTRUST organisational structure, changes in legislation and any other guidelines and practices subscribed to, as well as changes in project design and local context.

The ESMP and appended Safeguard Instruments (Annexes 1-3) will be publicly disclosed documents¹ and demonstrate WILDTRUST commitment to being transparent, accountable and accepting responsibility for the potential project impacts (both positive and negative), and summaries of translated versions will also be made available to stakeholders prior to project start.

The objectives of the ESMP are to:

- Ensure that the Project operates in compliance with South Africa’s legal requirements, Blue Action Fund’s Environmental and Social Management System (ESMS) standards, policy and procedures, and international good practice, notably the World Bank Environmental and Social Framework (WB ESF 2017, ESS1-10), the World Bank Group Environmental Health and Safety Guidelines (EHSGs), and all of those Standards and Guidelines referred to in the Blue Action Fund ESMS Manual (Version 3, August 2021);
- Ensure that the potential negative environmental and social impacts of the Project are managed appropriately, following the mitigation hierarchy;
- Ensure that the potential positive environmental and social impacts of the Project are enhanced;
- Ensure that the principles of environmental and social sustainability are taken into account; and
- Provide a reference against which future monitoring and evaluation can be undertaken.

1.2 Structure of the ESMP

¹ Note that these documents will not include any personal information/ data. The ESMP and appended Safeguard Instruments, are to be maintained by WILDTRUST, and any personal data (eg. Grievance Register) will be done so in a secure manner in line with Blue Action Fund’s GDPR Policy.

This ESMP includes all of the identified environmental and social risks and impacts of the project. **Section 2** of the ESMP describes the project and the social context. **Section 3** summarises the national and international requirements and project commitments, including an analysis of gaps between the national legislation and the international standards. **Section 4** describes the project's risk management strategy, illustrating the identified risks and impacts based on screening and assessment to date, and including the planned Safeguard Instruments and mitigation measures that form the projects risk management strategy. Finally, **Section 5** includes the monitoring and evaluation strategy of the project, as it pertains to environmental and social risks and impacts.

2 Project Description and Social Context

This section of the report describes the project including the location, objectives, activities and partners, and introduces the social and environmental context of the project area. A full description of the project can be found in the full project proposal, an excerpt of which can be provided to Stakeholders on request.

2.1 Brief project description

2.1.1 Project location

The project location is in KwaZulu-Natal province, South Africa. It is focused on the uThukela MPA which stretches in the south from just north of Tinley Manor to Port Durnford in the north (**Figure 1**). It is adjacent to and within two district municipalities (Ilembe and King Cetshwayo) and four local municipalities (uMhlathuze, uMlalazi, Mandeni and KwaDukuza).

The uThukela MPA incorporates ~80 km of coastline from the highwater mark of its beaches and estuaries to ~40nm offshore. The total size of the MPA is estimated to be approximately 4 094 km². The project will focus on the marine component of the MPA (including the uThukela River Estuary, which is included in the boundary of the MPA up to the 10m contours), and the estuarine functional zones of 4 of the estuaries that run through the Siyaya Coastal Park, and the lower catchments of the rivers that feed into these 4 estuaries.

The project will focus on the marine component of the MPA and the estuarine functional zones of five estuaries, and the lower catchments of the rivers that feed into these estuaries. These 5 estuaries are Zinkwazi and uThukela, and the 3 estuaries in the Siyaya Coastal Park (uMlalazi, Siyaya and Amatikulu-Nyoni). The Siyaya Coastal Park (**Figure 2**) runs from the mouth of the uMlalazi River to the southern boundary of the Amatikulu Nature Reserve. The project area includes the uMlalazi, Siyaya and Amatikulu-Nyoni Estuaries which fall within existing protected areas managed by EKZNW Wildlife (EKZNW) and are managed as part of the nature reserves (Amatikulu Nature Reserve and uMlalazi Nature Reserve, which together form the Siyaya Coastal Park) and includes 3 estuaries. There is a small strip of coastline between the Amatikulu Nature Reserve and the rest of the Siyaya Coastal Park, which is run by the municipality, along with a small piece of Tribal Authority-managed land.

The project will also support the development of Estuary Management Plans (EMP's) in the other 6 estuaries that join the coast in the MPA south of the Siyaya Coastal park. As such, the full project area includes all of the MPA area and the coastal areas within the yellow line in **Figure 5** and the two Nature Reserves. Harold Johnson Nature Reserve is not included within the Project Area however, the uThukela River Estuary (included in the boundary of the MPA up to the 10m contours) is included in the Project Area.

MPAs benefiting from enhanced management

The area of MPAs and coastal parks that will benefit from enhanced management include three areas of formal protection for which EKZNW is the management authority, i.e.:

1. the new **uThukela MPA** (4099 kms²);

2. the existing **Siyaya Coastal Park**, including:
 - a. **uMlalazi Nature Reserve** (19.8 kms²), and
 - b. **Amatikulu Nature Reserve** (19.2 kms²)

The areas indicated as “New” in **Table 1** below pertain to the uThukela MPA, which covers the marine and shoreline ecosystems, which was proclaimed in 2019 but for which management activities have not yet commenced or are in initial stages of implementation. The “Better managed” areas pertain to the existing coastal parks which overlap with the MPA on the shoreline but cover the coastal dunes and estuarine functional zone ecosystems in the coastal zone. The table includes an additional column that combines the areas for both across the IUCN categories, given that although management has not yet commenced in the uThukela MPA it is proclaimed.

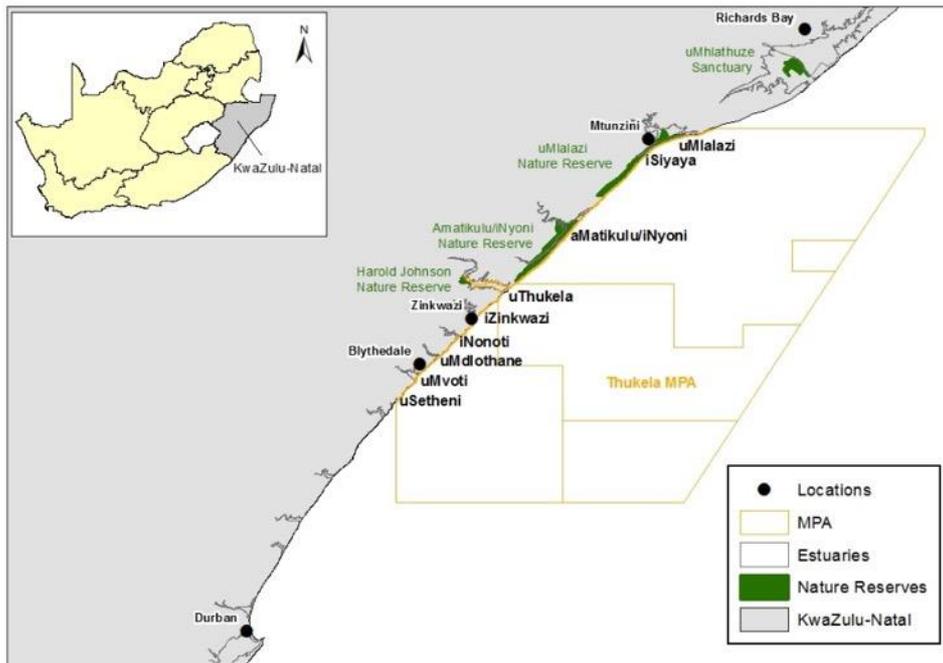


Figure 1: uThukela MPA Ecosystem-Based Management Project area, including the associated estuaries, key towns, and the three Nature Reserves in this region

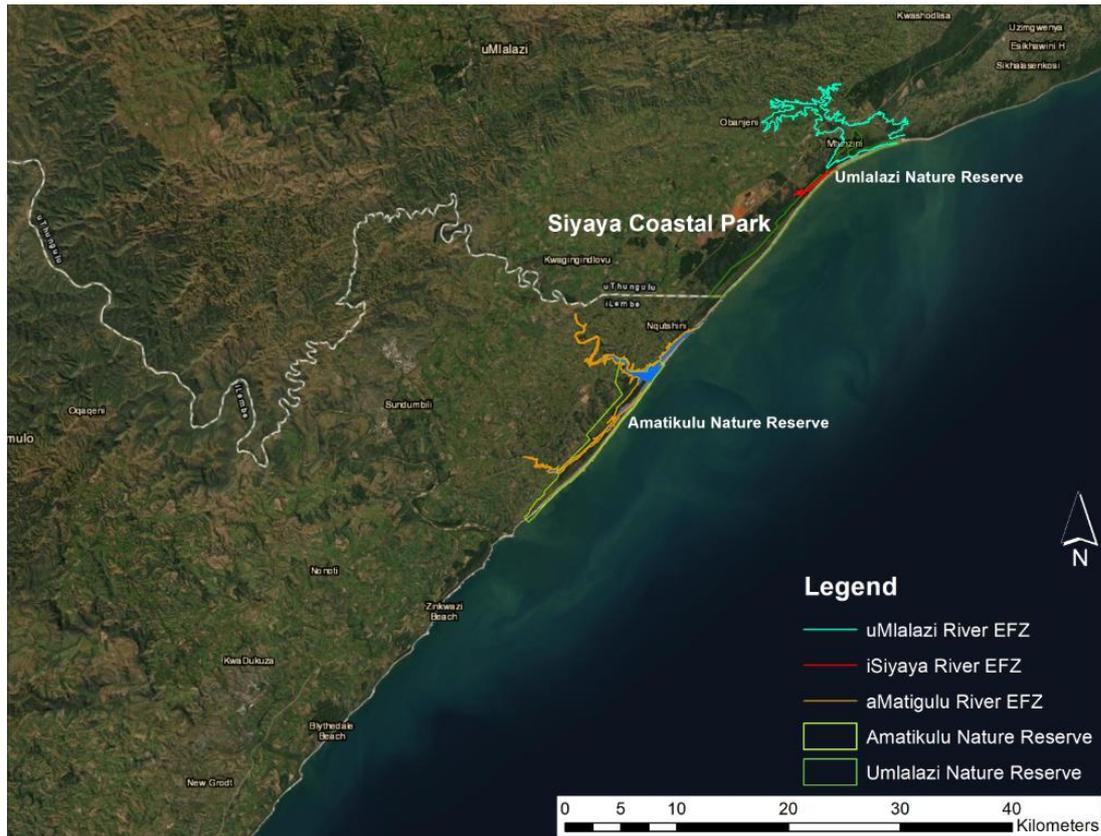


Figure 2: Siyaya Coastal Park including the Amatikulu Nature Reserve and the Umlalazi Nature Reserve

The uThukela MPA was gazetted in South Africa in May 2019 in terms of Section 22A of the National Environmental Management: Protected Areas Act (Act no. 57 of 2003). MPA is zoned into an inshore and an offshore area.

The two inshore **Restricted Zones (RZs)** and the two inshore **Controlled Zones (CZs)** 1) Amatikulu Inshore Restricted Zone (AIRZ); 2) uSetheni Inshore Restricted Zone (SIRZ) 3) Mtunzini Inshore Controlled Zone (MICZ) 4) uThukela Inshore Controlled Zone (TICZ).

The offshore area consists of three offshore **Controlled Zones**, one offshore **Controlled-Pelagic Linefish Zone** and one offshore **Restricted Zone**. These are as listed; 1) uThukela Offshore Controlled Zone North; 2) uThukela Offshore Controlled Zone South; 3) uThukela Offshore Controlled Commercial Zone; 4) Offshore Controlled-Pelagic Linefish and 5) uThukela Offshore Restricted Zone.

There are general regulations, and zone-specific regulations, as detailed in the Process Framework (**Annex 3**). In addition to the MPA, two existing Nature Reserves are located within the project area, together form the Siyaya Coastal Park : 1) Amatikulu Nature Reserve 2) uMlalazi Nature Reserve, which themselves include four Estuarine Functional Zones (EFZs); 1) Siyaya river, 2) uMlalazi River 3) Amatigulu River EFZ and 4) Umlalazi River EFZ (**Table 1; Figure 3**).

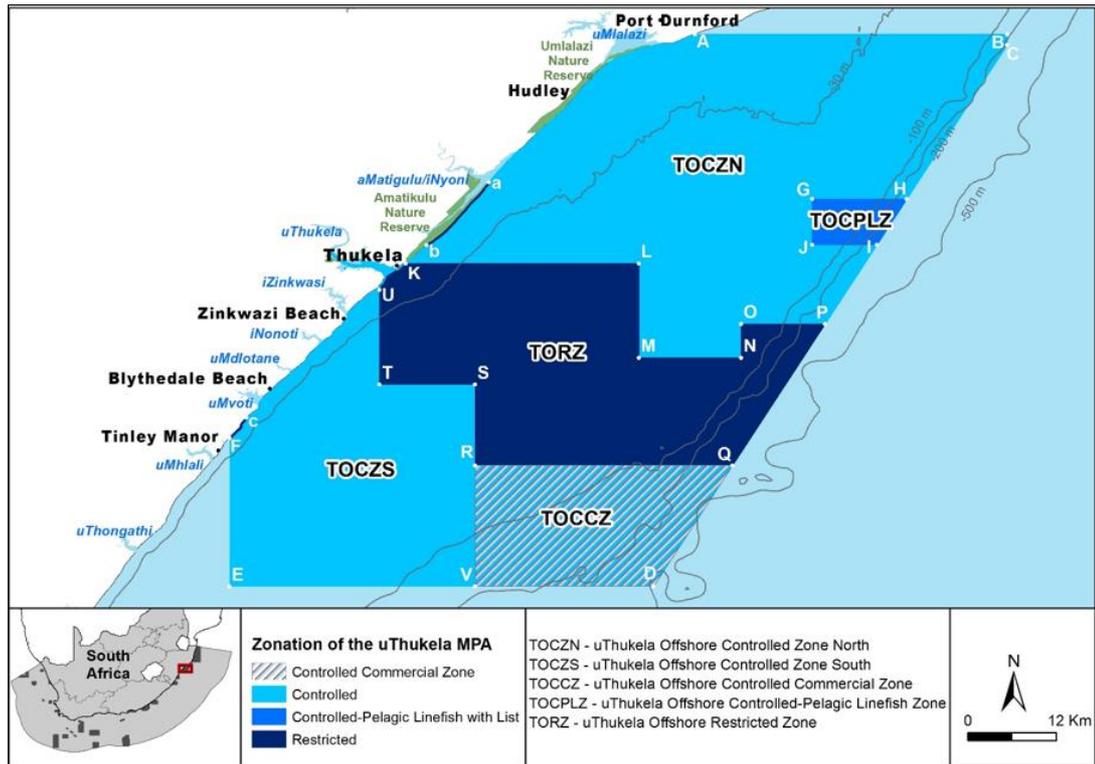


Figure 3: uThukela MPA and zonations.

Table 1 MPA and Existing Nature Reserves with the uThukela MPA area

Area	New uThukela MPA	Better managed Siyaya Coastal Park (inclu. Amatikulu & uMlalazi Nature Reserve)	Combined	MPA Zone ²
MPAs IUCN categories	km ²	km ²		Corresponding MPA zone
I Strict Nature Reserve / Wilderness Area	988		988	TORZ
II National Park	3		3	SIRZ,AIRZ
III Natural Monument or Feature	0		0	
IV Habitat/Species management Area	59		59	TOCPLZ
V Protected Seascape/Landscape	2581	39	2620	TOCZN,TOCZS,TICZ, MICZ
VI Protected area with sustainable use of natural resources	429		429	TOCCZ and ESTUARIES
Buffer zone	0		0	
TOTAL	4060	39	4099	

² See the next section for the acronyms in this table column.

Location of project activities

The project area where primary sustainable livelihood interventions and climate-smart agricultural practices will be introduced will be in and around the Siyaya Coastal Park (including the uMlalazi Nature Reserve with the Siyaya and uMlalazi estuaries, and the Amatikulu Nature Reserve with the Amatikulu and Nyoni estuaries) and will include working with communities living adjacent to the Siyaya Coastal Park to the north of the uMlalazi estuary (Nquitshini community) north and living alongside the Amatikulu Nature Reserve to the north of the Amatikulu-Nyoni estuary (Nyembe community).

The Nquitshini community (alongside the Amatikulu-Nyoni estuary) is part of the Mandeni Local Municipality within the Ilembe District Municipality), The Nyembe community (alongside the uMlalazi estuary) is part of the uMlalazi Local Municipality within the King Cetshwayo District Municipality as illustrated in **Figure 4** and **Figure 5** below.

These two communities will be the locations for the Climate Adaptation Community Resource Centres. These 2 rural communities (Nquitshini community and Nyembe community) were selected because of their vulnerability to climate change-related impacts, and socio-economic needs. Both communities utilise the estuarine functional zone as well as the beach zone for subsistence agriculture and fishing, and live immediately adjacent to the 2 nature reserves and coastline.

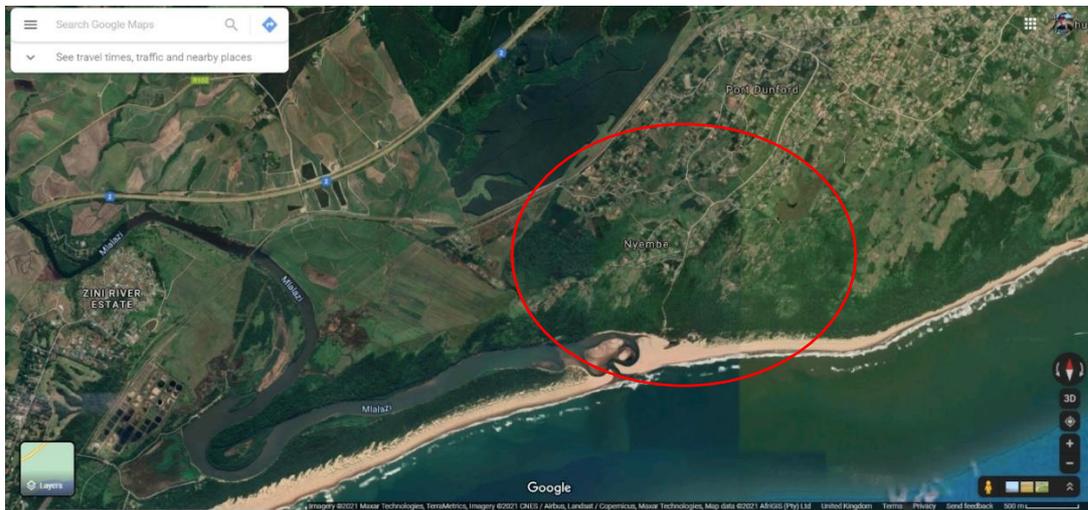


Figure 4: The location of the Nquitshini Community on the Amatikulu Estuary

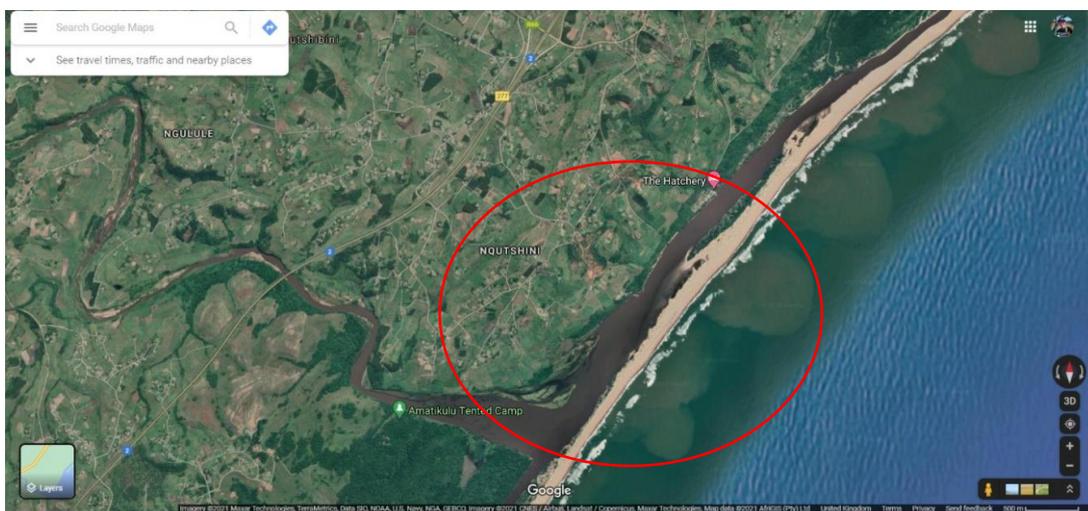


Figure 5: The location of the Nyembe Community (Port Durnford) on the uMlalazi Estuary

The estuaries support mangroves, reed marshes, seagrass meadows and swamp forests. Vegetated coastal dunes provide coastal protection from sea-level rise and storm surges and shelter mosaics of coastal wetlands (important bird habitats) in dune depressions. Offshore habitats include - coral reefs, unusual gravel fields and rich muddy seafloors. On the terrestrial side, in addition to agricultural land, land under the conservation in the Nature Reserves; there are also Mondi tree plantations making up the largest agricultural category in the region. Agricultural production is dominated by sugar cane, however, vegetables, timber production, and citrus farming also occur, especially, in the Nkwalini Valley. Subsistence farming, which is mainly based on tribal lands, is focused on poultry and various fresh produce including vegetables, beans, maize, and citrus fruit. These products are said to have a great potential for the growth of the agriculture sector in the uMlalazi Municipality. There is also evidence of commercial forestry lots on tribal lands. Forestry has a direct interest in working with communities around natural resource harvesting, and this is often done as part of forestry operations to reduce the risk of arson and inappropriate grazing and to support social responsibility efforts.

Figure 6 illustrates the wider geography over which project activities will occur.. As such, the project's primary impact areas in terms of management effectiveness and planning, ecosystem protection and restoration and livelihood support are the uThukela MPA itself, the Siyaya Coastal Park and 3 associated estuaries, and the 2 focal communities living immediately adjacent to the Park (within 5 km, north of the uMlalazi and Amathikulu estuaries) include improved stakeholder engagement and management planning processes and enhanced law enforcement capacity, support for inclusive knowledge generation and sharing, baseline ecological and social surveys, development of Estuarine Management Plans (EMPs) and identification of livelihood options but does not extend to active implementation of livelihood interventions or direct support for management activities to implement the EMPs.

Although livelihood interventions will not be implemented at and around the estuaries outside of the Siyaya Coastal Park, and restoration activities are not planned for south of uThukela estuary, identification of livelihood options and restoration needs will be done during the development of the EMPs, to promote mitigation of risks identified by the project and to promote regional good governance, empowerment, and inclusivity for long-term livelihoods improvement.

Restoration activities (involving local communities) will however also be implemented for the uThukela EFZ and the dunes around the north of the uThukela estuary mouth (see yellow sites in **Figure 6**) and within the Zinkwazi EFZ. This will create jobs as well as regeneration of degraded climate relevant ecosystems this improving socio-ecological resilience in these areas.

International and regionally relevant lessons learnt and disseminated, and model provided of socio-ecological resilience through nature-based solutions in and around a financially sustainable MPA.

A summary of the project activities is provided in **Table 2**, and a full list of activities can be found in the project proposal.

Table 2: Project Outputs, Indicators and Activities

OUTPUTS		INDICATOR	ACTIVITIES		
1	OUTPUT 1: IMPROVED RESOURCES, INSTRUMENTS AND CAPACITIES FOR MPA MANAGEMENT AND SUSTAINABLE USE	<i>Indicator 1.1: Management Plan for uThukela MPA</i>	1.1.1	Stakeholder engagement and EbA awareness generation	
			1.1.2	uThukela MPA Management Plan consultation and finalisation	
			1.1.3	Climate mitigation and adaptation knowledge-buildings workshops	
			1.1.4	MPA Stakeholder Forum meetings	
			1.1.5	uThukela Governance Liaison Forum establishment and meetings	
			1.1.6	Rural Community Workshops (awareness linked to zonation's, restrictions, and constructive engagement with authorities)	
			1.1.7	Environmental and Social Management System (ESMS)	
			<i>Indicator 1.2: Management Plans for nine (9) MPA-associated estuaries</i>	1.2.1	Nine (9) Estuary Management Plans production
			<i>Indicator 1.3: Monitoring, control, and enforcement techniques.</i>	1.3.1	MPA Demarcation and Information Distribution
				1.3.2	Establish a Surveillance Centre infrastructure
				1.3.3	Training in utilisation of the remote surveillance equipment and software
				1.3.4	Marine and estuarine enforcement and monitoring
				1.3.5	MPA Management Staff Training
				1.3.6	MPA Honorary Officers (<i>provide training support for policies and procedures</i>)
				1.3.7	Monitoring and enforcement for protection of ecosystems in estuarine functional zone
				1.3.8	Support development of a specific Law Enforcement Strategy for the MPA
				1.3.9	Management Effectiveness assessment processes for adaptive management
			<i>Indicator 1.4: Financial assessments and strategies for sustainable financing developed.</i>	1.4.1	Establish a team to implement and guide Sustainable Financing strategies development
				1.4.2	Baseline economic valuation of the ecosystems and natural assets in the MPA and associated estuaries

OUTPUTS	INDICATOR	ACTIVITIES										
		<table border="1"> <tr> <td data-bbox="880 259 970 338">1.4.3</td> <td data-bbox="970 259 1511 338">Evaluate the financing requirements and planning for the MPA</td> </tr> <tr> <td data-bbox="880 338 970 383">1.4.4</td> <td data-bbox="970 338 1511 383">Financial Risk Management Plans</td> </tr> <tr> <td data-bbox="880 383 970 461">1.4.5</td> <td data-bbox="970 383 1511 461">Workshops to assemble experts and potential partners in sustainable financing</td> </tr> <tr> <td data-bbox="880 461 970 551">1.4.6</td> <td data-bbox="970 461 1511 551">Implement identified sustainable financing mechanisms</td> </tr> </table>	1.4.3	Evaluate the financing requirements and planning for the MPA	1.4.4	Financial Risk Management Plans	1.4.5	Workshops to assemble experts and potential partners in sustainable financing	1.4.6	Implement identified sustainable financing mechanisms		
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1.4.4	Financial Risk Management Plans											
1.4.5	Workshops to assemble experts and potential partners in sustainable financing											
1.4.6	Implement identified sustainable financing mechanisms											
2 OUTPUT 2: STRENGTHENED ADAPTIVE CAPACITY AND REDUCED EXPOSURE TO CLIMATE RISKS	<i>Indicator 2.1:</i> <i>Development of climate risk assessments for understanding and reacting to climate-related risks</i>	<table border="1"> <tr> <td data-bbox="880 551 970 595">2.1.1</td> <td data-bbox="970 551 1511 595">Ecosystem baseline survey and assessment</td> </tr> <tr> <td data-bbox="880 595 970 674">2.1.2</td> <td data-bbox="970 595 1511 674">Restoration of estuarine and riverine ecosystems</td> </tr> <tr> <td data-bbox="880 674 970 719">2.1.3</td> <td data-bbox="970 674 1511 719">Effective implementation of Management Plans</td> </tr> <tr> <td data-bbox="880 719 970 842">2.1.4</td> <td data-bbox="970 719 1511 842">Training and information dissemination (climate-smart sustainable harvesting and farming practices)</td> </tr> <tr> <td data-bbox="880 842 970 887">2.1.5</td> <td data-bbox="970 842 1511 887">Risk Assessment Report</td> </tr> </table>	2.1.1	Ecosystem baseline survey and assessment	2.1.2	Restoration of estuarine and riverine ecosystems	2.1.3	Effective implementation of Management Plans	2.1.4	Training and information dissemination (climate-smart sustainable harvesting and farming practices)	2.1.5	Risk Assessment Report
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2.1.5	Risk Assessment Report											
	<i>Indicator 2.2:</i> <i>Implementation of early warning systems</i>	<table border="1"> <tr> <td data-bbox="880 987 970 1032">2.2.1</td> <td data-bbox="970 987 1511 1032">Installation of KZN Bight Sentinel Site</td> </tr> <tr> <td data-bbox="880 1032 970 1077">2.2.2</td> <td data-bbox="970 1032 1511 1077">Community based early flood warning system</td> </tr> </table>	2.2.1	Installation of KZN Bight Sentinel Site	2.2.2	Community based early flood warning system						
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2.2.2	Community based early flood warning system											
3 OUTPUT 3: DEGRADED COASTAL ECOSYSTEMS, WHICH ARE PARTICULARLY RELEVANT FOR CLIMATE CHANGE ADAPTATION, REHABILITATED.	<i>Indicator 3.1:</i> <i>Rehabilitation of beaches and coastal dunes</i>	<table border="1"> <tr> <td data-bbox="880 987 970 1032">3.1.1</td> <td data-bbox="970 987 1511 1032">Surveys of beaches and dune vegetation</td> </tr> <tr> <td data-bbox="880 1032 970 1111">3.1.2</td> <td data-bbox="970 1032 1511 1111">Rehabilitate the beach and dune vegetation to a natural state</td> </tr> <tr> <td data-bbox="880 1111 970 1189">3.1.3</td> <td data-bbox="970 1111 1511 1189">Community involvement in beach and dune vegetation restoration</td> </tr> </table>	3.1.1	Surveys of beaches and dune vegetation	3.1.2	Rehabilitate the beach and dune vegetation to a natural state	3.1.3	Community involvement in beach and dune vegetation restoration				
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3.1.3	Community involvement in beach and dune vegetation restoration											
	<i>Indicator 3.2:</i> <i>Rehabilitation of estuarine ecosystems</i>	<table border="1"> <tr> <td data-bbox="880 1626 970 1671">3.2.1</td> <td data-bbox="970 1626 1511 1671">Surveys of estuaries</td> </tr> <tr> <td data-bbox="880 1671 970 1715">3.2.2</td> <td data-bbox="970 1671 1511 1715">Rehabilitate estuarine ecosystems</td> </tr> <tr> <td data-bbox="880 1715 970 1760">3.2.3</td> <td data-bbox="970 1715 1511 1760">Community involvement in estuarine restoration</td> </tr> </table>	3.2.1	Surveys of estuaries	3.2.2	Rehabilitate estuarine ecosystems	3.2.3	Community involvement in estuarine restoration				
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3.2.3	Community involvement in estuarine restoration											
	<i>Indicator 3.3:</i> <i>Rehabilitation of riverine riparian vegetation, estuary-supporting wetlands</i>	<table border="1"> <tr> <td data-bbox="880 1626 970 1671">3.3.1</td> <td data-bbox="970 1626 1511 1671">Surveys of riparian vegetation</td> </tr> <tr> <td data-bbox="880 1671 970 1715">3.3.2</td> <td data-bbox="970 1671 1511 1715">Rehabilitate the riparian zone to a natural state</td> </tr> <tr> <td data-bbox="880 1715 970 1760">3.3.3</td> <td data-bbox="970 1715 1511 1760">Community involvement in riparian zone restoration.</td> </tr> </table>	3.3.1	Surveys of riparian vegetation	3.3.2	Rehabilitate the riparian zone to a natural state	3.3.3	Community involvement in riparian zone restoration.				
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3.3.3	Community involvement in riparian zone restoration.											
	<i>Indicator 3.4: Restoration of coral reef fish populations</i>	<table border="1"> <tr> <td data-bbox="880 1626 970 1671">3.4.1</td> <td data-bbox="970 1626 1511 1671">Coral Reef Fish Surveys</td> </tr> <tr> <td data-bbox="880 1671 970 1715">3.4.2</td> <td data-bbox="970 1671 1511 1715">Fisher awareness workshops</td> </tr> </table>	3.4.1	Coral Reef Fish Surveys	3.4.2	Fisher awareness workshops						
3.4.1	Coral Reef Fish Surveys											
3.4.2	Fisher awareness workshops											
4 OUTPUT 4: SEQUESTERED CARBON OR REDUCED EMISSIONS	<i>Indicator 4.1:</i> <i>Carbon sequestered in functional ecosystems maintained.</i>	<table border="1"> <tr> <td data-bbox="880 1626 970 1749">4.1.1</td> <td data-bbox="970 1626 1511 1749">Estimation of carbon sequestered in mangroves and coral reefs.</td> </tr> </table>	4.1.1	Estimation of carbon sequestered in mangroves and coral reefs.								
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	<i>Indicator 4.2:</i> <i>Protection of coral reefs</i>	<table border="1"> <tr> <td data-bbox="880 2038 970 2083">4.2.1</td> <td data-bbox="970 2038 1511 2083">Physical mapping of mesophotic coral reefs.</td> </tr> <tr> <td data-bbox="880 2083 970 2128">4.2.2</td> <td data-bbox="970 2083 1511 2128">Coral Reef Ecosystem surveys.</td> </tr> <tr> <td data-bbox="880 2128 970 2206">4.2.3</td> <td data-bbox="970 2128 1511 2206">Conduct workshops to raise awareness amongst stakeholders to increase coral reef protection</td> </tr> </table>	4.2.1	Physical mapping of mesophotic coral reefs.	4.2.2	Coral Reef Ecosystem surveys.	4.2.3	Conduct workshops to raise awareness amongst stakeholders to increase coral reef protection				
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	<i>Indicator 4.3:</i> <i>Protection of mangrove</i>	<table border="1"> <tr> <td data-bbox="880 2038 970 2083">4.3.1</td> <td data-bbox="970 2038 1511 2083">Surveys of mangrove vegetation</td> </tr> <tr> <td data-bbox="880 2083 970 2128">4.3.2</td> <td data-bbox="970 2083 1511 2128">Development of alternatives to direct</td> </tr> </table>	4.3.1	Surveys of mangrove vegetation	4.3.2	Development of alternatives to direct						
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4.3.2	Development of alternatives to direct											

OUTPUTS		INDICATOR	ACTIVITIES	
		<i>forests</i>		exploitation from mangrove ecosystem
			4.3.3	Introduction of sustainable income generating opportunities for fishers
5	OUTPUT 5: CLIMATE-RESILIENT AND SUSTAINABLE LIVELIHOODS PROMOTED	<i>Indicator 5.1: Sustainable livelihood initiatives</i>	5.1.1	Baseline livelihoods and Perceptions Survey and reassessment
			5.1.2	Identification of potential livelihood initiatives
			5.1.3	Community eco-cultural tour guide livelihood initiative.
			5.1.4	Community-run campsites
			5.1.5	Support for communities not at focal sites.
		<i>Indicator 5.2: Women leadership and economic empowerment</i>	5.2.1	Development of a Gender Action Plan for the project
			5.2.2	Leadership training
			5.2.3	Enterprise development training
			5.2.4	Micro-enterprise establishment
			5.2.5	Peer support groups.
		<i>Indicator 5.3: Youth employment and career development opportunities</i>	5.3.1	Climate adaptation youth job creation
			5.3.2	Career development support
			5.3.3	Ocean Stewards career development and support
		<i>Indicator 5.4: Climate-smart practices for improved livelihoods</i>	5.4.1	Community Climate Adaptation Resource Centre
			5.4.2	Training, awareness, and education (impacts of Climate Change and sustainable resource use)
			5.4.3	Demonstration of climate-smart homestead-based solutions
5.4.4	Promote sustainable resource use practices and reservation of important natural cultural sites			
6	OUTPUT 6: ENHANCED KNOWLEDGE, EXPERTISE AND CAPACITY OF RELEVANT NATIONAL AGENCIES TO USE EBA APPROACHES FOR CLIMATE- RESILIENT COASTAL ZONE MANAGEMENT	<i>Indicator 6.1: Dissemination of lessons learned about EbA approaches</i>	6.1.1	Regional WIO Workshop
			6.1.2	Online Webinar Series
			6.1.3	Synthesis of Lessons Learned
			6.1.4	International and regional symposia attendance
		<i>Indicator 6.2: Media and publications (awareness building of EbA approaches and MPA benefits)</i>	6.2.1	Community Radio
			6.2.2	Social Media
			6.2.3	Articles
7	OUTPUT 7: STRENGTHENED INSTITUTIONAL AND REGULATORY SYSTEMS FOR CLIMATE-	<i>Indicator 7.1: Promotion of EbA approach in MPA and Estuary Management Tools.</i>	7.1.1	Workshops
			7.1.2	Guideline document (outlining the importance of EbA approaches)
		<i>Indicator 7.2: Regulatory</i>	7.2.1	Legal review and assessment

OUTPUTS		INDICATOR	ACTIVITIES	
	RESPONSIVE PLANNING AND DEVELOPMENT	<i>incentive systems for climate resilience implementation</i>	7.2.2	Carbon asset identification.
			7.2.3	Pilot implementation (of an incentive funding mechanism)

2.1.3 Project timeframe and budget

The timeframe for uThukela MPA Ecosystem Based Management Project is 5 years with a proposed start date on 01 March 2022 > to 28 February 2027.

The proposed budget total for the project is €9 751 720 (including match funding).

2.1.4 Project partners and responsibilities

WILDTRUST is the lead implementing partner for this project, and will report directly to the Blue Action Fund, the executing agency. Blue Action Fund receive funds from Government funding partners - Germany, through the German Federal Ministry for Economic Cooperation and Development (BMZ) in cooperation with KfW Development Bank; Sweden, through the Swedish Ministry for Foreign Affairs; France, through the Agence Française de Développement (AFD); and the Green Climate Fund (GCF).

WILDTRUST will lead the project, working very closely with our primary project partner (Sub-Grantee), the Oceanographic Research Institute of the South African Association for Marine Biological Research (SAAMBR) and the other partner organisations who, are participating and providing match funding for the project, and are integral to the project's success. The table below (**Table 3**) summarises each of these roles, as well as the other implementing partners involved, and their planned contributions to / benefits from the project. **Table 4** details the collaborating governance partners (government agencies / traditional structures) who will be consulted and supported through processes and workshops provided by the project.

Table 3: Partners, Sub-Grantee and Implementing Partners

Role	Organisation	Contribution to project
Project Lead Partner	WILDTRUST (WILDLANDS & WILDOCEANS)	Lead Implementing Organisation: Full project co-ordination, legal and fiduciary compliance, reporting, monitoring & evaluation, quality assurance, environmental & social impact compliance, Ocean Stewards engagements, project implementer at uThukela MPA & oversight of understanding ecosystems associated.
Primary Project Implementing Partner (Sub-Grantee)	South African Association for Marine Biological Research – Oceanographic Research Institute (SAAMBR- ORI)	Estuarine and fisheries Baseline survey and monitoring, specialist advice on restoration and methodologies, and involvement in fisheries training.
Other Implementing Partners	EKZNW Wildlife (EKZNW)	Conservation management of MPA's in the province of KwaZulu-Natal, including uThukela MPA and involving research, planning, monitoring and compliance. Priority project partner, multiple collaboration points as per SEP. EKZNW will be getting support from the project in the form of infrastructure, equipment, training, operative costs, vehicles, boats, etc
	Target Communities	Project beneficiaries of community hubs & restoration jobs, skills development investment and information sharing. Collaborators in development of EMP's and

Role	Organisation	Contribution to project
		MPA MPs, and will receive support from the project in the form of infrastructure, equipment, training, operative costs, vehicles, boats, etc
	South African Environmental Observation Network (SAEON)	Biophysical long-scale monitoring of oceanography, climate, water flows, etc
	South African Institute for Aquatic Biodiversity (SAIAB) –	Provision of offshore research platforms and fish specialist advice and survey and monitoring
	Nelson Mandela University (NMU)	Offshore coral reef restoration and baseline assessments of coral reefs as well as contribution to the social baseline study..
	University of KwaZulu-Natal (UKZN)	Social studies and baselines and Ocean Stewards participation

Table 4: Collaborating Governance Partners

Organisation	Contribution to the project
KwaZulu-Natal Department of Economic Development, Tourism, and Environmental Affairs (EDTEA)	Coastal Zone Management, policy, engagement with other government stakeholders in the coastal zone, Adopt an Estuary programme at one of the estuaries. Priority project partner, multiple collaboration points as per SEP. Responsible for implementation of EMPs outside MPAs.
National Department of Forestry, Fisheries and Environment (DOFFE)	Marine biodiversity and marine protected areas regulations, declarations and management implementation. DDG of Oceans and Coasts which is responsible for marine protected area planning and management. Priority project partner, multiple collaboration points as per SEP.
Co-operative Governance and Traditional Affairs (COGTA)	The provincial department plays a key role in ensuring co-operation between local government and traditional authorities and is also responsible for provincial spatial planning and supporting the development of IDPs and local spatial planning. To be consulted in relation to the community resource centre development and community relations.
Local and District municipalities: Mandeni Local Municipality; uMhlathuze Local Municipality; iLembe District Municipality; King Cetshwayo District Municipality.	Local and District Municipalities are responsible for development planning and control, coastal access provision, local coastal and estuary management, environmental protection, and management, and responding locally to climate change. To be included in relation to resource centre development and other relevant project developments.
Department of Water and Sanitation.	Monitoring of the potential major threats to the estuary health. The impact of poor water and sanitation services on catchment and rivers is significant and will impact on the MPA which requires consultation with DWS.
Department of Agriculture and Rural development	Climate smart agricultural development: All legal requirements for agricultural development must be met, through this department, notably in relation to land clearing and cultivation. Development

	component of the project: could potentially support skills development & provide extension support.
Traditional Authorities: <i>Amakhosi and iziNduna</i>	Traditional authorities play an important role in governing land and socio-ecological relationships in the region from a community perspective; are the first entry point to communities and will participate in all relevant participatory processes related to the project.

2.1.4.1 ESMS responsibilities

Both Blue Action Fund and the grantee are responsible for assessing and managing the project impacts – direct and indirect – caused by activities that are either financed or technically supported by the project. This includes impacts (positive and negative) caused by activities or actors that are financially or technically supported by the project, even when these activities or actors fall outside of the mandate of Blue Action Fund and the grantee. For those activities that are implemented solely by the project (e.g. the grantee or sub-grantees), that would not have happened without the financial support of the project, the project is causing the impact, and has the highest level of responsibility for preventing or mitigating the impacts. For those activities where the project contributes to an existing activity, such as law enforcement that is already being conducted by a government agency, the project is contributing to an impact. Finally, in cases where the project is associated with an activity but is neither causing nor contributing to the activity, then the project is linked to this impact, and has the lowest level of responsibility (Blue Action Fund ESMS Manual, V0.3, 2021). The identified project risks and impacts are detailed in **Section 4**.

2.2 Social context

The uThukela MPA is situated in the Province of KwaZulu-Natal, which is the second most populous province in South Africa, with nearly 19.2% of the country's population, or 11,3 million people living in the Province (StatsSA, 2020). Ilembe District which is located adjacent to the uThukela MPA has the fastest growing population in the Province (15.7% change in share of population between 2007 and 2016). The population of KZN is predominantly black (87%, which is higher than the national average of 81%) and hence the legacy of colonialism and apartheid needs to be taken in to account in the project, as well structural poverty and inequality. KwaZulu-Natal and the Mandeni and uMlalazi Municipalities, which contain the case study sites for the proposed project have a very young population (36.6% of the population in KZN are young). The majority of the population are in the age category of the youth (15 – 34 year olds), with children (0-14 year olds) also making up a high percentage of the population.

The challenge to the project in terms of education levels is that in the Province and MPA associated municipalities only 30% to 40% of the population have a matric or higher level of education. The uMlalazi Municipality has a literacy rate of 70% to 75%, while the Mandeni Municipality is better off with a literacy rate of 80% – 85%.

Employment is a major challenge in South African with 34% of the population unemployed (StatsSA, 2021). These challenges are endemic and persistent in KwaZulu-Natal with only 52.6% of adults (35 – 64) employed in the Province and 25.5% of the youth (15 – 34) employed (StatsSA, 2018).

The study area for the proposed WILDTRUST project has a high percentage of formal and traditional dwellings with a low percentage of state-subsidised RDP houses. This indicates that households in the area are either private households in the formal housing market or households associated with traditional systems on Ingonyama Trust Land, governed by the traditional authority, under communal land tenure.

Services levels across KZN and the district and local municipalities associated with the MPA vary. Piped water is available to between 40% to 60% of households, with 46.8% of households with access to flush toilets connected to a sewerage system or septic tank in 2016. These low levels of service provision

have significant implications for the MPA, as lack of services impacts pollution levels and resource extraction in the catchments and rivers and estuaries. Provision of and access to services is a major challenge in the study area and reflects the high levels of poverty and inequality and lack of development in the two local municipalities where the proposed WILDTRUST project will take place.

The abundant and diverse natural resources and ecosystem services in the project site underpin food security, livelihoods for small-scale fishers and rural communities, sport and commercial line-fishing, and nature-based tourism (such as whale watching), and a hospitality industry that is founded on the strength of the areas with intact coastal ecosystems. Commercial forestry is an employer in the area, linked to favourable climatic conditions and there is good potential for climate-smart small-scale agri-forestry or food crops.

2.2.1 Stakeholders and Project Affected People

Stakeholders

The project has conducted a stakeholder identification and analysis exercise based on both desk-based review, existing WILDTRUST workings with stakeholders, and the environmental and social assessment (June – October 2021). The stakeholder engagement plan, shown in **Annex 2**, provides details of the identified stakeholders (stakeholder list), stakeholder analysis, the proposed stakeholder engagement mechanisms (eg. forums, workshops, meetings etc), and the plan itself.

A summary of the key stakeholders includes:

Government departments and Agencies:

- National Department of Forestry, Fisheries and Environment (DOFFE)
- Department of Water and Sanitation (DWS)
- Co-operative Governance and Traditional Affairs (COGTA)
- KwaZulu-Natal Department of Economic Development, Tourism, and Environmental Affairs (EDTEA)
- KwaZulu-Natal Department of Agriculture and Rural Development (KZN DARD)
- Department of Environmental Affairs (DEA)
- EKZNW Wildlife

NGOs:

- Coast watch
- Conservation KZN
- Ocean Unite
- Zinkwazi Blythedale Conservancy
- Zinkwazi Lagoon Lodge
- WESSA
- Tugela Mouth Conservancy
- Civil Society Activist Groups
- Conservancies & Enviro Watchdogs

Research and Independent Experts:

- South African Environment Observation Network (SAEON)
- Oceanographic Research Institute (ORI)
- University of KwaZulu-Natal (UKZN)
- Nelson Mandela Bay University

District Municipalities:

- Ilembe District Municipality
- King Cetshwayo District Municipality

Local Municipalities:

- uMhlathuze Local Municipality
- Umlalazi Local Municipality
- Mandeni Local Municipality

- KwaDukuza Local Municipality

Traditional Authority leadership:

- Macambini Traditional Council
- Mkhwanazi Traditional Council
- Nonoti Traditional Council
- Nzuzu Traditional Council
- Ogagwini Traditional Council
- Induna Magwaza (Hlomendlini)
- Induna Ngobese

Local communities:

- Vulnerable/marginalised groups e.g. Women
- Coastal resource user communities (regional)
- Small scale fishers (subsistence)

Users of land and marine areas:

- Small scale fishers (roving cast-offs)
- Small scale fishers (co-operatives)
- Commercial Forestry / Agriculture
- Commercial Fishers (shore & offshore)
- Private Property Owners/Developers
- KZN Sharks Board
- Ratepayers/Residents Associations
- Fish Farms / Aquaculture Investors
- Recreational Fishers / Boating Clubs

Media:

- Regional Media (Print and radio stations)
- POST Newspaper
- Mercury/Independent Newspaper
- Farmers Weekly
- KZN Newspaper
- Isolezwe
- Die Burger
- Beeld
- Daily News
- IOL Independent Online
- News24
- Cape Argus
- Sunday Tribune
- MAIL & GUARDIAN
- SA People
- The Star
- City Press

A summary of the mechanisms for stakeholder engagement include:

- uThukela MPA Stakeholder Forum
- MPA Management Plan Finalisation consultations
- Estuarine Management Forum
- Baseline livelihoods and Perceptions Survey and reassessment and feedback
- Multi-level Governance Structure
- Stakeholder Engagement Working Group
- Project Partners Steering committee
- KZN, Provincial Coordinating Committee (deals with coastal zone management)
- Mintech Working Group 8 (deals with national coastal matters)

- Community Workshops
- Community Leadership consultations
- Climate mitigation and adaptation knowledge-building workshops
- Women's group training and peer support groups
- Environmental Management Plan for Hub Construction
- Facilitate Awareness-raising (Media articles and publications)
- Workshops, webinar series and publications of EbA MPA lessons learned
- Media articles and publications
- Community 'employment opportunities' meetings

Project Affected Communities and People

The list in Table 5 below indicates the principle Affected Communities (communities directly affected by the project), which are all those local communities located in the project area identified to date. There are 36 Wards affected by the Project (Affected Communities), totalling 23 095 households (**Table 5**). While there are 36 Wards within the project area (the area of uThukela MPA), as described above, the project will work in two specific case study estuaries, working with adjacent communities and establishing resource centres (**Table 6**), while the remaining communities would be affected by the MPA management planning, law enforcement, and/ or Estuary Management Plans.

Through the E&S assessment the project has estimated degree of affectedness based on proximity to the coastline as the major weighting variable. With all those wards 5 km and less from the coast attaining High Affectedness status. Additionally, variables such as the distance to the estuarine functional zone and the major communal practices in the area were also taken into consideration, with some regions closer to the Exclusive Fishery Zone (EFZ) than to the coast also obtaining highly affected status. As the distance from the coast increases, affectedness decreases accordingly, however where the proximity to EFZ is substantial, or the community expresses as particularly intimate with their environment (as per land use practices) the designation may reflect an increased affected response.

Table 5: Affected Communities in the uThukela MPA Ecosystem Based Management Project

District/ Region	Ward	Approx. no of households	Approx. number of inhabitants		Estimate of the degree of affectedness[1]
			Male	Female	
iLembe	MAN 1	1503	3841	4332	High
iLembe	MAN 8	2075	4585	4773	High
uThungulu	UML 17	1546	3594	4053	Medium
uThungulu	UML 18	1838	2347	2255	Medium
uThungulu	UMH 10	2540	5316	5995	Medium
uThungulu	UMH 11	1542	4839	4291	High
uThungulu	UMH 13	2746	7315	7613	Medium
uThungulu	UMH 18	1453	3939	4268	High
uThungulu	UMH 19	3138	5609	6325	Medium
uThungulu	UMH 30	3006	2190	3573	Low
uThungulu	UML 19	2736	3764	3617	High
uThungulu	UML 20	2000	4645	5238	Medium
uThungulu	UML 21	982	2505	2940	High
uThungulu	UML 22	1279	3476	4080	High
iLembe	KWA 1	1816	3574	3871	Medium
iLembe	KWA 10	1540	2882	3123	High
iLembe	KWA 11	2381	4171	4171	High

iLembe	KWA 12	2466	4047	4213	High
iLembe	KWA 13	2572	4218	4390	Medium
iLembe	KWA 14	2589	4369	4734	Medium
iLembe	KWA 15	3674	5726	5502	High
iLembe	KWA 16	2934	4689	4880	Medium
iLembe	KWA 17	2245	3654	3804	Medium
iLembe	KWA 18	2037	3479	3924	Medium
iLembe	KWA 19	2400	3551	4005	Medium
iLembe	KWA 2	2385	4471	3964	High
iLembe	KWA 24	2804	4861	5059	High
iLembe	KWA 26	2319	3086	2965	Medium
iLembe	KWA 29	2867	4920	4920	High
iLembe	KWA 3	2874	3209	3768	High
iLembe	KWA 5	2195	3777	4091	Medium
iLembe	KWA 9	1816	3661	3810	Medium
iLembe	MAN 2	1397	3322	3599	High
iLembe	MAN 3	2543	4322	4322	High
iLembe	MAN 4	3072	4342	4897	Medium
iLembe	MAN 9	2154	5141	5797	Medium

Table 6: Affected Communities in the two focus nodes of uThukela MPA Ecosystem Based Management Project

Estuary Complex	District Municipality	Local municipality	Coastal Ward	Nearest Town/Community	Closest Estuary/River	Distance from Estuary (km)	Distance from coast (km)
uMlalazi-Siyaya Complex	King Cetshwayo	uMhlathuze	uMhlathuze Ward 18	Port Dunford, Nyembe	Mlalazi Estuary	2.8	2.2
	Uthungulu	uMhlathuze	uMhlathuze Ward 11	Ongoye	Mlalazi River	7.53	7.04
	Uthungulu	uMlalazi	uMlalazi Ward 19	Mtunzini	Mlalazi Estuary	5.2	2.52
	Uthungulu	uMlalazi	uMlalazi Ward 19	Umlalazi Nature reserve			
	Uthungulu	uMlalazi	uMlalazi ward 18	Obanjeni	Mlalazi River	14.42	9.56
	Uthungulu	uMhlathuze	uMhlathuze Ward 19	Mahunu	Mlalazi Estuary	6.34	4.81
	Uthungulu	uMhlathuze	uMhlathuze Ward 22	Sikhalasenkosi	Mlalazi Estuary	9.34	3.67
	Uthungulu	uMhlathuze	uMhlathuze Ward 30	Vulindlela	Mlalazi Estuary	10.03	8.69
	Uthungulu	uMhlathuze	uMhlathuze Ward 10	Khandisa	Mlalazi Estuary	10.24	8.15
	Uthungulu	uMhlathuze	uMhlathuze Ward 21	Esikhawini	Mlalazi Estuary	11.24	4.29
	Uthungulu	uMhlathuze	uMhlathuze Ward 20	Esikhawini	Mlalazi Estuary	11.26	4.33
	Uthungulu	uMhlathuze	uMhlathuze Ward 17	Esikhawini	Mlalazi Estuary	12.67	5.1
Amathikulu-Nyoni Complex	Uthungulu	uMlalazi	uMlalazi Ward 18	Cets	uMatigulu Estuary	8.82	5
	iLembe	Mandeni	Mandeni Ward 1	Amatikulu	uMatigulu Estuary	3.82	2.95
	iLembe	Mandeni	Mandeni Ward 1	Amatikulu Nature reserve	uMatigulu and Nyoni		

	iLembe	Mandeni	Mandeni Ward 8	Mhlubulweni	uMatigulu Estuary	5.23	3.6
	Uthungulu	uMlalazi	uMlalazi Ward 17	Nguqu	uMatigulu Estuary	13.05	8.6

Project Affected Peoples in the context of this project (i) persons who have formal legal rights to land or assets; (ii) persons who do not have formal legal rights to land or assets, but have a claim to land or assets that is recognized or recognizable under national law; (iii) persons who have no recognizable legal right or claim to the land or assets they occupy or use. The mechanisms to engage with project affected people are included in the Stakeholder Engagement Plan (**Annex 2**), and the potential risks and impacts are indicated in **Section 4** and in the Process Framework, **Annex 3**.

2.2.2 Disadvantaged or Vulnerable Groups

Disadvantaged or vulnerable groups are individuals or groups of individuals who risk being disproportionately affected by project related risks and adverse impacts and who may be more limited than others in their ability to take advantage of project benefits. These social groups can suffer from discrimination, unequal access to rights, unequal access to and control over resources or unequal access to development opportunities. As a result, they may be poorly integrated into the formal economy, may suffer from inadequate access to basic public goods and services, and may be excluded from political decision-making. Disadvantaged or vulnerable individuals/ groups are also more likely to be excluded from/ unable to participate fully in the mainstream consultation process and as such may require specific measures and/or assistance to do so.

Vulnerability in this context refers to people who are:

- Likely to be affected by the project (i.e., they are exposed to project activities, e.g., because they fish or use areas where law enforcement will occur);
- Sensitive to these effects (e.g., because they are highly dependent on natural resources with no other livelihood options); and
- Have got low adaptive capacity (e.g., because they don't have family or relatives who can support them, or no other skills or assets to rely on).

In this context, the identified vulnerable groups are those households living in poverty. As of April 2021, the food poverty line in South Africa is **R624 per person per month (€36.59)** with more than a quarter of the population living below the food poverty line in 2015. (**StatsSA**). The upper-bound poverty line in South Africa is currently **R1,335 (€77.59) per person per month**. This refers to the food poverty line plus the average amount derived from non-food items of households whose food expenditure is equal to the food poverty line. This includes up to 62% of households in the project area. Furthermore, there are a number of child-headed households, who are also considered vulnerable, and most are living in poverty. There are high levels of unemployment among youth, with an average of 34.5% for youth and 13.1% for adults respectively. The overall unemployment rate in 2016 for KZN for the working age population was 23.3 % but these figures would be higher in 2021 given the increase in unemployment levels across South Africa, and the impact of both COVID and the social unrest. The socioeconomic baselines to be conducted during the project inception will further characterise vulnerability at the level of the 2 focus estuary sites. As poverty in the area is linked to unemployment, then those households out of work are more likely to depend on natural resources to make a living, and therefore the broad group of vulnerable households are most exposed to natural resource restrictions within the MPA. There is also potential that the most vulnerable are also the most dependent on natural resources, but no evidence for this.

3 National and International Requirements

WILDTRUST is committed to full compliance with South Africa's legal requirements, Blue Action Fund's ESMS standards, policy and procedures, and international good practice, notably the World Bank Environmental and Social Framework (2017).

3.1 Project's host country requirements

A summary of key national legislation which pertains to this project is provided in **Annex 5**. No environmental or social impact assessment is required of a project of this nature in the legislation.

Environmental Governance

The jurisdiction, mandate and roles of the different government agencies in environmental management of the uThukela MPA and associated coastal areas is as follows:

- The KwaZulu-Natal provincial conservation agency, EKZNW Wildlife, is the appointed management authority of the uThukela MPA (including the uThukela river estuary) is Ezemvelo and has a contractual relationship in this regard with the national Department of Forestry, Fisheries and Environment (DFFE) which is mandated in terms of the National Protected Areas Act (NEMPA) mandate national government. On the coast the MPA extends to the high-water mark in the uThukela estuary and along the coast and does not include the coastal dunes.
- Ezemvelo is also the management authority for the Siyaya Coastal Park (including uMlalazi and Amatikulu Nature Reserves) and the four (4) estuaries that lie within it (uMlalazi, Siyaya, Amatikulu and Nyoni) and is mandated directly through the provincial KwaZulu-Natal Nature Conservation Act (KZNNCA). The rest of the coastal zone alongside the uThukela MPA, outside the boundaries of the Siyaya Coastal Park, includes coastal towns, privately/commercially owned land (including forestry) and traditional authority areas and the other five estuaries (Zinkwazi, Mdotane, Nonoti, Umvoti and Seteni). DFFE is the mandated authority for these areas, which are subject to both the Integrated Coastal Zone Management Act (ICZMA) and overlapping Marine Living Resources Act (MLRA),

The marine environment is the responsibility of **National Government (DEFF)**, which is responsible for controlling access and use of associated resources, and has powers to designate management of the marine protected areas to other agencies in this case Ezemvelo KZN Wildlife.

Environmental governance in the coastal zone is much more complex, with multiple laws and actors at different scales responsible for managing natural, built and human environments in coastal areas. Ezemvelo is the provincial agency mandated with conservation management in KwaZulu-Natal inside and outside terrestrial protected areas and is responsible for the management of all the state-owned terrestrial protected areas including the Siyaya Coastal Park.

Figure 7 presents a summary of the 'layers' of legislation that impose various regulatory and management requirements in estuaries and other parts of the coastal zone. The diagram shows at least 16 different national and provincial statutes that mandate different national, provincial and local government entities to perform specific regulatory and / or management functions in estuary zones. In addition to national and provincial statutes, local government is responsible for preparing Integrated Development Plans, Spatial Development Frameworks and Local Area Plans (and associated policies and by-laws) that regulate development in and adjacent to coastal areas in response to identified environmental threats and priorities.

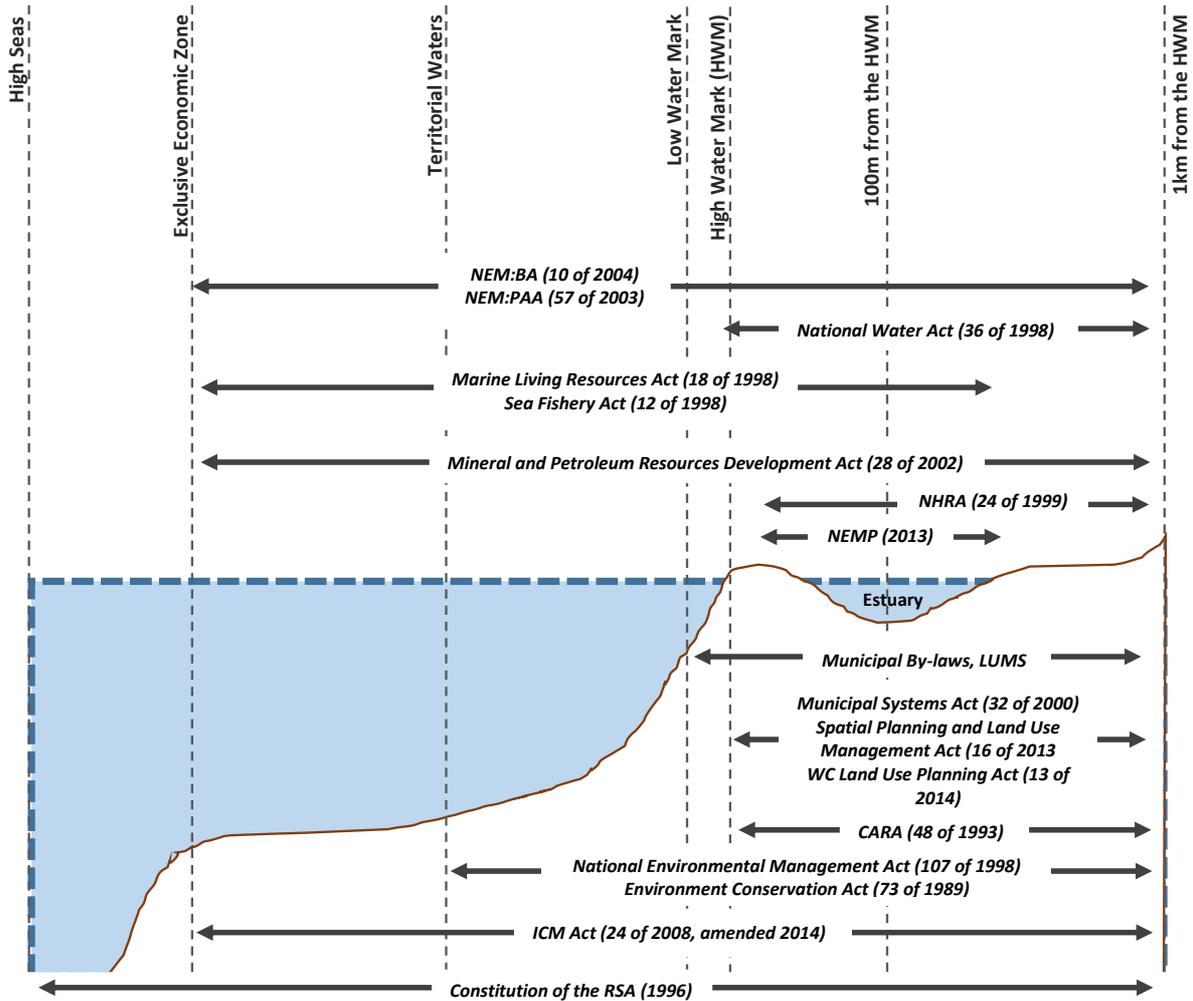


Figure 7: Summary of Legislative Jurisdiction in the Coastal Zone (from Western Cape Government, 2019, originally adapted from Goble *et al.* 2014)

According to the Western Cape Government (2019) the National Environmental Management: Integrated Coastal Management Act (Act 24 of 2008, as amended by Act 36 of 2014) (ICMA) was developed to facilitate the sustainable use and management of South Africa’s coastline, coastal and estuarine resources. The ICMA emphasises the need for cooperation and shared management and mandates all three spheres of Government to develop Coastal Management Programmes (CMPs). These CMPs should guide government decisions to achieve the desired outcomes for the coastal environment. The ICMA also directs the National Estuarine Management Protocol (NEMP), which requires estuaries to be managed in a co-ordinated and efficient manner. The NEMP is supported by National Guidelines for the Development and Implementation of Estuarine Management Plans which contain a framework for estuarine management as well as minimum requirements as per the NEMP.

Management of estuaries and the coast is, per the principles of ICMA, meant to be undertaken in a participatory manner. In KwaZulu-Natal, a Provincial Coastal Working Group exists (currently being reconstituted after a period of inactivity) to facilitate co-operative governance and a participatory approach to coastal management province-wide. Similarly, Municipal Coastal Committees may be established to facilitate implementation of municipal coastal management plans, with Ilembe District one such example along the MPA coastline.

Although none exist along the MPA coastline at present, the NEMP development requirements provide for multi-stakeholder Estuary Advisory Forums to facilitate open participation in estuary management. Such forums have met with mixed success in other regions of the country (Mander *et al.* 2019).

In addition to developing local CMPs, local government (District and Local Municipalities) also has various mandates relating to coastal management and protection. District Municipalities along the uThukela MPA coastline include Ilembe and King Cetshwayo, and Local Municipalities include uMhlathuze, Umlalazi, Mandeni and KwaDukuza. In terms of ICMA, each coastal municipality must make by-laws that designate strips of land as coastal access land to secure public access to that coastal property, and manage such coastal access points appropriately. Local government is also responsible for delineating coastal set-back lines within relevant municipal plans or maps that form part of its zoning scheme / land use management system. In terms of the broader mandates for environmental duty of care, local governments must also ensure that development and pollution pressures on coastal, estuary and marine areas are properly managed in development planning and decision-making. The National Climate Change Bill also places an onus on local government to plan for climate change risks and contribute toward the achievement of national emissions reductions targets.

Sections 31, 32 and 33 of the National Environmental Management: Protected Areas Act (Act No. 53 of 2003) requires the participation of civil society and other authorities in the governance of protected areas. The draft Management Plan for the uThukela MPA (EKZNW, 2020) proposes establishing a formally constituted Stakeholder Forum to guide the development, review, evaluation, and updating of the MPA management plan.

Given the layered nature of environmental governance in the coastal zone, the need for effective platforms and processes that facilitate alignment in decision-making and action across different spheres of government, and across different stakeholder groups (i.e. vertical and horizontal alignment) is critical for reducing current and future threats to the uThukela MPA.

Another challenge in ensuring the success of an MPA, is the relationship between MPA's and the catchments which are located adjacent to, or on the landward side of them. While conversation recognises the importance of understanding the socio-ecological system within which the resources being conserved are located, with clear spatial boundaries to ensure effective focus, management and efforts, the linkages and connections between socio-ecological systems at the landscape scale need to be acknowledged. Under South African legislation, river catchments and their sub-catchments fall under Water Management Areas (WMA's) with their associated Catchment Management Agencies (CMA's). The National Water Act (No. 36 of 1998) requires the establishment of CMA's to govern water in South Africa. CMA's require engagement between state and non-state actors; and have a strong focus on the biophysical health of catchments, as well as social transformation, supporting the principles of integrated water resources management. Within this institutional imaginary, each CMA is required to compile a Catchment Management Strategy and ensure water resources planning.

3.2 International requirements

The Blue Action Fund requires all of its projects to be compliant with the World Bank Environmental and Social Framework (WB ESF 2017), including the Environmental and Social Standards (ESS) 1-10, the World Bank Group Environmental Health and Safety Guidelines (EHSGs), and the other Standards and Guidelines listed in Annex A of the Blue Action Fund ESMS Manual. These Standards are aimed at providing guidance on how to identify risks and impacts, and are designed to help to help avoid, mitigate and manage risks and impacts as a way of doing projects in a sustainable way. To make these Standards relevant and practical for conservation projects, Blue Action Fund has developed safeguarding Principles and Requirements based on the WB ESF (Annex B of the Blue Action Fund ESMS Manual), which include:

- **Principle 1:** Environmental and social assessment and risk management
- **Principle 2:** Stakeholder engagement
- **Principle 3:** Health, safety and security of communities and project personnel
- **Principle 4:** Protection, conservation and sustainable management of the environment, biodiversity and natural resources
- **Principle 5:** Livelihoods and access restrictions
- **Principle 6:** Gender equity and vulnerable groups
- **Principle 7:** Cultural heritage

- **Principle 8:** Indigenous Peoples
- **Principle 9:** Grievance management
- **Principle 10:** Human rights

Adherence to these Principles and Requirements places an emphasis on ensuring adequate public consultation and disclosure is carried out so that Affected Communities are fully informed about the project and their views and concerns are taken into account. The Blue Action Fund and all of its projects are committed to this. Stakeholder engagement shall be conducted based on timely, relevant, understandable and accessible information, provided in a culturally appropriate format, as described in the Stakeholder Engagement Plan (SEP) appended to this document.

3.2.1 Gap analysis

WILDTRUST has documented the key South African legislation that pertains to the project, documented in the full proposal and summarised in **Annex 4. Table 7** presents a summary of some of the gaps identified, and the project’s strategy to address these.

Table 7: Gap Analysis

Blue Action Fund requirements	National Legislative Requirements	Gap	Strategy
Principle 1: E&S assessment and risk management (relates to WB ESS 1)	No EIA required unless major infrastructure. PDAI and PAJA observed in MPA establishment.	No ESIA per se, but PAJA accounts for respect for peoples’ rights	Conduct E&S assessment, and SE baselines to identify potential impacts; work with EKZNW on identified impacts as per PF (Annex 1)
Principle 2: Stakeholder engagement (relates to WB ESS 10)	NEMPA (2003) public consultation process in line with PAJA. Management plan consultation process.	Accessibility of consultations (language; transport; information)	Support EKZNW with the engagement process as per the SEP (Annex 2).
Principle 3: Health, safety and security of communities and project personnel (relates to WB ESS 2 and 4)	NEMA (1998) on law enforcement; EKZNW Policies on law enforcement (firearms, use of force etc) aligned with legislation;	Compliance check with Blue Action law enforcement guidance eg. Voluntary Principles	Conduct compliance check as per Section 4 of this ESMP.
Principle 4: Resource efficiency and biodiversity (relates to WB ESS 3 and 6)	NEMA (1998); NEMBA (2004); NEMPA (2003)	None identified	NA
Principle 5: Livelihoods and access restrictions (relates to WB ESS 5)	PAJA (2000); NEMPA (2003) for public consultation.	Baseline surveys; cut-off dates; livelihood restoration entitlements.	Development of a project Preliminary Process Framework
Principle 6: Gender equity and vulnerable groups (all of the WB ESF)	Constitution (1996)	None identified	NA
Principle 7: Cultural Heritage (relates to WB ESS 8)	KZN Heritage Act, 1997	None identified	NA
Principle 8: Indigenous Peoples (relates to WB ESS 7)	Not applicable		
Principle 9: Grievance Management (relates to WB ESS 10)		No requirement for a grievance management	Establish project Grievance Mechanism (Annex 1) and support

Blue Action Fund requirements	National Legislative Requirements	Gap	Strategy
		within Protected Areas	EKZNW to develop their mechanism
Principle 10: Human Rights (relates to BMZ guidelines on Human Rights)	Constitution (1996)	None identified	NA

4 Risk Management Strategy

This is a provisional ESMP and will be further updated within the Project Inception period (the first six months of project implementation) in line with an update of the other Safeguard Instruments (**Annexes 1-3**, the Grievance Mechanism, Stakeholder Engagement Plan, and Process Framework).

As stated above, the project's risk management strategy aims to both manage the project's direct impacts, particularly those in the two case study estuary sites, and to support EKZNW Wildlife (the uThukela MPA management authority) to manage any impacts in the MPA across the broader area due to management plan implementation and law enforcement.

Once the ESMP has been updated after the project inception period, further major updates will be made on an annual basis, in parallel with project annual reporting described in Section 5 below.

In this section, **Table 8** indicates the key risks and impacts identified in the E&S screening and assessment exercises conducted by WILDTRUST with partners, and **Table 9** illustrates the intervention measures included in project activities to manage these risks and impacts, including details on responsibilities and resourcing.



Table 8: Key social and environmental risk and impacts		
Principles and requirements	Applicable to project? Significance of risk?	Main risks and impacts and how they will be addressed, including any Safeguard Instruments
Principle 1: E&S assessment and risk management (relates to WB ESS 1)	<input checked="" type="checkbox"/> yes Moderate risk	Based on the E&S screening and assessment completed, the project has successfully identified several potential environmental and social risks and impacts on a high-level (landscape/seascape level). These risks and impacts were related to stakeholder consultation and engagement (considering the quite complex stakeholder environment), the potential for access restrictions and social impacts on coastal communities and other marine and coastal resource users, and the potential for conflicts in relation to law enforcement in this context. To further improve the assessment of risks and impacts, the project will complete both socioeconomic and ecological baseline surveys during the first year of the project and will also include further social impact assessment in the design of the Estuary Management Plan planning process and in the MPA management plan planning processes (including impacts and opportunities from ecosystem rehabilitation work). These planning processes are detailed in the project's Process Framework. Other risks will be managed through the activities detailed in Table 6 below. The project will monitor E&S risks and impacts via the ESMP .
Principle 2: Stakeholder engagement (relates to WB ESS 10)	<input checked="" type="checkbox"/> yes Substantial risk	The project and MPA are in a complex social and political landscape, where overlapping responsibilities and mandates between different government departments and traditional authorities requires stakeholder engagement to include relevant actors. Some gaps in stakeholder consultation & engagement during the project proposal development have been identified, and a project Stakeholder Engagement Plan (SEP) has been formulated. This SEP includes engagement activities the project will undertake and activities the project will support EKZNW with.
Principle 3: Health, safety and security of communities and project personnel (relates to WB ESS 2 and 4)	<input checked="" type="checkbox"/> yes <input type="checkbox"/> no Moderate risk	Risks identified to H&S of project staff, including WILDTRUST employees, sub-contractors and voluntary Honorary Officers, due to use of vehicles, and potential confrontations with people in the project focus areas. Risks related to law enforcement include the potential for the escalated community – MPA tensions and potential for conflict between law enforcement personnel and communities. Management measures are included in Table 6 below.
Principle 4: Resource efficiency and biodiversity (relates to WB ESS 3 and 6)	<input checked="" type="checkbox"/> yes <input type="checkbox"/> no Low-moderate risk	Potential risks related to climate-smart agriculture (e.g. expansion into natural and sensitive areas), resource centres (e.g. siting of the Resource Centres to prevent ecological damage), and estuary restoration (e.g. introduction of inappropriate or invasive trees/ plans) have been identified. Management measures are included in Table 6 below.
Principle 5: Livelihoods and access restrictions (relates to WB ESS 5)	<input checked="" type="checkbox"/> yes <input type="checkbox"/> no Moderate risk	Potential for offshore areas of the uThukela MPA to lead to increased effectiveness of implementation of legal restrictions on commercial and recreational users, and for inshore areas (controlled and restricted zones) to lead to increased implementation of legal restrictions on coastal community's resource use activities, in a context where some restrictions on access already exist due to the existing MPA, Nature Reserves and other land uses (e.g. plantation forestry). A Preliminary Process Framework has been designed to guide the Project Inception period, including socioeconomic baselines and support to EKZNW's stakeholder engagement process.



Principle 6: Gender equity and vulnerable groups (all of the WB ESF)	<input checked="" type="checkbox"/> yes <input type="checkbox"/> no Moderate risk	Potential for women and vulnerable groups to be excluded from engagement around EMPs, MPA planning, and specific project activities. Potential for women and vulnerable groups to be more adversely affected by improved implementation of legal restrictions on natural resource access, but unknown. Measures included in the Stakeholder Engagement Plan and Preliminary Process Framework to ensure inclusion during impact assessments and planning of project activities/ mitigation measures.
Principle 7: Cultural Heritage (relates to WB ESS 8)	<input type="checkbox"/> yes <input checked="" type="checkbox"/> no Low risk	Refurbishment of Community Hubs is deemed to have a negligible potential negative impact on cultural heritage and does not require a Chance Find Procedure.
Principle 8: Indigenous Peoples (relates to WB ESS 7)	<input type="checkbox"/> yes <input checked="" type="checkbox"/> no Na.	No applicable. The project does not consider that the coastal communities in uThukela meet the international definition of Indigenous Peoples.
Principle 9: Grievance Management (relates to WB ESS 10)	<input checked="" type="checkbox"/> yes Moderate risk	Existing grievances related to the Nature Reserves and between EKZNW and communities. Potential grievances could relate to project staff and activities (e.g. in the Estuary sites) and to the broader MPA (e.g. zoning, regulations, law enforcement). A project-level Grievance Mechanism has been designed (Annex 1), and the project will work with EKZNW to develop an MPA level Grievance Mechanism to receive and resolve those grievances that are within EKZNW's mandate.
Principle 10: Human Rights (relates to BMZ guidelines on Human Rights)	<input type="checkbox"/> yes <input checked="" type="checkbox"/> no Na.	No identified risks or impacts to date.

Table 9: Risk and impact management measures						
Social and environmental risks and impacts	Management measures	Feasibility, effectiveness, and sustainability	Location	Costs	Implementation responsibility	Schedule
Principle 1 - E&S risk and impact identification, assessment, and management– risk of unidentified and unmanaged impacts due to the project & project contribution to the MPA; some gaps in stakeholder consultation (language, access to	1) Annual re-screening of risks and impacts using the BAF E&S tool [ESMS function] 2) Project socioeconomic baseline; two estuarine sites and directly affected communities (see Annex 3 of the project proposal for details); 3) Inclusion of impact assessment (and mitigation planning) into the EMP planning process; see Process Framework	1, 2 and 6 are all project activities, and ESMS functions that will be overseen by the ESMS Manager and are written into the project work plan (ie. within project control). Measure 3 to be integrated into ToR of EMP consultants. Measures 4, 5 and 7 will be supported by the MPA authority	MPA level	1) ESMS Manager Time; 2) Baseline budget; 3) EMP consultant TOR; 4) Travel, S&T, staff time; consultant TOR	1) WILDTRUST; 2) WILDTRUST and University of KwaZulu Natal; 3) WILDTRUST supervision; consultants conducting EMP planning. 4-5) EKZNW with support from WILDTRUST; 6) WILDTRUST;	1) Annual 2) Inception Phase 3) Inception Phase 3) Before & during EMP planning process; 4) Before & during MPA planning process;



Table 9: Risk and impact management measures						
Social and environmental risks and impacts	Management measures	Feasibility, effectiveness, and sustainability	Location	Costs	Implementation responsibility	Schedule
meetings, information sharing, involvement in management planning).	<p>4) Inclusion of impact assessment into the MPA stakeholder consultation and engagement process; Process Framework</p> <p>5) Support for uThukela MPA Stakeholder Forum and Estuary Advisory Forums including local stakeholders and expertise, to work on key identified access-livelihood issues within the MPA; Process Framework</p> <p>6) Monitoring and Evaluation of the project ESMP; [ESMS function]</p> <p>7) Support to socioeconomic component of uThukela ongoing monitoring and research programmes; [ESMS function];</p>	(EKZNW). WT works closely with the social ecologist of EKZNW, who is the point contact for safeguards.		<p>5) Stakeholder Engagement Coordinator and Assistant and the 2 Hub supervisors time costs; Meeting costs</p> <p>6) ESMS Manager time & running costs</p> <p>7) EKZNW & project staff time and running costs.</p>	7) EKZNW with support from WILDTRUST.	<p>5) Inception Phase;</p> <p>6) Ongoing with annual reporting;</p> <p>7) Ongoing</p>
Principle 2 - Stakeholder engagement for the broader MPA requires	<p>Project SEP, including:</p> <p>1) Support EKZNW with a stakeholder analysis and formulation of an initial uThukela MPA Stakeholder Engagement Plan;</p> <p>2) Facilitate the establishment of identified mechanisms/ forums (see SEP), including a multi-level governance structure;</p> <p>3) Design a project presentation and a note with relevant project information for project disclosure;</p> <p>4) Establish and activate a Project Partners Committee to allow multi-lateral discussions about the project (traditional authorities; local/provincial government)</p>	All well within the feasibility of WILDTRUST and partners to coordinate. Multi-level governance structure will depend on levels of engagement from partners. Sustainability will be determined by partners finding value in the processes.	MPA and national level	<p>1) Meeting costs and staff time</p> <p>2) Workshop, (venue, catering) costs</p> <p>3) N/A</p> <p>4) Meeting costs</p> <p>5) Translation budget</p> <p>6) ESMS manager and PM time</p>	<p>1) WILDTRUST, EKZNW</p> <p>2) WILDTRUST and Multiple stakeholders (as per SEP)</p> <p>3) WILDTRUST</p> <p>4) WILDTRUST, EKZNW, Local Gov, Community</p>	<p>1) Inception phase</p> <p>2) Inception Phase</p> <p>3) Inception Phase</p> <p>4) Inception phase and monthly / bi-monthly</p>



Table 9: Risk and impact management measures

Social and environmental risks and impacts	Management measures	Feasibility, effectiveness, and sustainability	Location	Costs	Implementation responsibility	Schedule
	<p>5) Engage translation services for translation of all key MPA documents into isiZulu; translation of all relevant project information, and ongoing translation of project and MPA documents to support stakeholder engagement;</p> <p>6) Formulate community engagement principles and participatory recommendations to be used in community engagement for the MPA and EMP planning process to ensure the voice of youth, women, and any identified vulnerable affected user groups.</p> <p>7) Provide training in the application of the community engagement principles, and participatory processes, gender-based violence and sexual harassment to key Ezemvelo and WILDTRUST staff leading on stakeholder engagement.</p> <p>8) Provide extension support to EKZNW to support stakeholder engagement efforts and to ensure consultation extends beyond community representatives (eg. traditional leadership) and reaches community members & affected resource users, among others.</p> <p>9) Sensitisation events (see Principle 10 – law enforcement) to communities tailored to zoning/ regulations in surrounds.</p> <p>10) Specific stakeholder engagement focused around 4 estuaries that fall outside our 2 main project area’s to explain the reason for the intensive focus on the priority project sites, and to explain how the project will be contributing to livelihoods in these sites.</p>			<p>7) ESMS manager time</p> <p>8) Project team Travel & S&T</p> <p>9) Workshop costs and staff time.</p>	<p>Leadership Representative)</p> <p>5) UKZN</p> <p>6) WILDTRUST (ESMS Manager & Project)</p> <p>7) WILDTRUST (ESMS Manager)</p> <p>8) WILDTRUST (PM)</p> <p>9) WILDTRUST, EKZNW</p>	<p>meetings thereafter</p> <p>5) As Needed</p> <p>6) Inception phase</p> <p>7) Inception Phase</p> <p>8) Throughout project</p> <p>9) Throughout project</p>



Table 9: Risk and impact management measures

Social and environmental risks and impacts	Management measures	Feasibility, effectiveness, and sustainability	Location	Costs	Implementation responsibility	Schedule
Principle 3 - OHS risk and impacts to project staff including WILDTRUST employees, subcontractors and voluntary Honorary Officers	1). WILDTRUST vehicle policy (including boats); 2). H&S training for Vehicles and Boat Operations. 3). Environmental & Social Code of Practice (ESCOP) for resource Centre construction (labour, H&S) [ESMS function]; 4). Honorary Officer Standard Operating Procedure (SOP) (as below in law enforcement).	Dependent on active implementation of policies. But for both WILDTRUST and EKZNW these are well regulated at organisational level supported by both good practice and OHS legislation.	Organisational	N/A	WILDTRUST & EKZNW	N/A
Principle 3 – Local conflicts due to employment opportunities and selection process	1) Inclusion of Traditional Authority leadership and the Councilors in selection criteria generation for employment opportunities 2) Broad and appropriate advertising of employment opportunities.	Dependent on strong relationships with Community Leadership, based on trust, and TA's time availability. Because of the high need for jobs in communities, we don't foresee any challenges here.	MPA level.	Staff time, travel, S&T	WILDTRUST, TA leaders and counsellors.	Throughout the project (during recruitment)
Principle 4: Resource efficiency and biodiversity	Climate-smart agricultural development: risks of unintentional damage to sensitive natural areas 1) WILDTRUST to include the selection of areas for climate-smart agriculture from results of ESA, E&S Development Tool and in the EMP process. 2) ESCOP for the resource centre's capturing Occupational Health & Safety (OHS) risks/impacts and the environmental impacts listed in the E&S assessment. 3) Fuel management protocols implemented; 4) An Environmental Management Plan to be implemented for all construction and operational activities associated with the community resource	All skills for implementation and sustainability within WILDTRUST and partners.	MPA level	1) Project team time 2) ESMS Manager and consultants time 3) EKZNW staff time 4) Project manager time,	WILDTRUST, Consultants	1) Inception Phase, and during EMP development. 2) As per project activity timeline 3) Year 1 – before delivery of



Table 9: Risk and impact management measures						
Social and environmental risks and impacts	Management measures	Feasibility, effectiveness, and sustainability	Location	Costs	Implementation responsibility	Schedule
	<p>centre's and other facilities/infrastructure built/used by the project;</p> <p>5) Estuarine and riparian restoration – expertise on this existing within WILDTRUST – so there is no risk of introducing any alien species or damaging natural areas through inappropriate methodologies etc.</p> <p>6) WILDTRUST to formulate management measures based on the ESA report/ results in the E&S development tool.</p>			<p>Consultant time & S&T</p> <p>5) Restoration team staff time</p> <p>6) Project Team time</p>		<p>LE equipment.</p> <p>4) Year 1 before implementation of relevant project activity.</p> <p>5) Year 1</p> <p>6) Year 1</p>
<p>Principle 5: Access and livelihoods. Risks/ impacts related to offshore, inshore zones of the MPA, existing Nature Reserves, and cumulative impacts on vulnerable resource users.</p>	<p>A Preliminary Process Framework. Management measures are those included in Principle 1 and 2 (inclusion of impact assessment in MPA and EMP planning process, formation of technical working groups on access-livelihood issues, MPA stakeholder engagement process etc.). Furthermore, additional management measures include:</p> <p>1) Identification of the most natural resource-dependent social groups (e.g. Natural Resource user groups) most likely to be most affected by law enforcement during EMP planning (e.g. uThukela Estuary). Those groups who do not form part of the</p>	<p>Risk of mitigation measures required by PF outcomes outside of budget and human resources capacity of the project.</p>	MPA level	<p>1) ESMS Manager and staff time (WT & EKZNW)</p> <p>2) Workshop costs, staff S&T</p>	WILDTRUST, EKZNW.	<p>1) Inception Phase</p> <p>2) Inception Phase</p>



Table 9: Risk and impact management measures						
Social and environmental risks and impacts	Management measures	Feasibility, effectiveness, and sustainability	Location	Costs	Implementation responsibility	Schedule
	<p>two main livelihoods support centre's will be provided with support through:</p> <ul style="list-style-type: none"> a. Network building and WILDTRUST serving as a bridge to other opportunities b. Learning exchanges with two priority sites. c. Identification of livelihood options during EMP process d. Access to other priority site hub sites at the community's own cost. e. Restoration activities at and around the uThukela and Zinkwazi estuaries that will provide local jobs and training. <p>These groups will also be consulted in the Projects Inception phase to ensure there is understanding of the reasons for not running full livelihood interventions in these sites.</p> <p>2) Workshop with EKZNW to investigate the findings of the ESA/ Process Framework regarding restrictions and identify where further assessment and stakeholder engagement is required; (PROJECT INCEPTION period);</p>					



Table 9: Risk and impact management measures						
Social and environmental risks and impacts	Management measures	Feasibility, effectiveness, and sustainability	Location	Costs	Implementation responsibility	Schedule
	<p>See also activities 1-3 in the SEP section (1) Inclusion of impact assessment (and mitigation planning) into the EMP planning process; see Process Framework; (2) Inclusion of impact assessment into the MPA stakeholder consultation and engagement process; Process Framework; (3) Formulation of Stakeholder Forum working groups including local stakeholders and expertise, to work on key identified access-livelihood issues within the MPA; Process Framework.</p> <p>In addition, livelihood development measures are included in the project. Further engagement with affected groups is required to ensure these are suitable mitigation measures, and these would include the 'Sustainable Livelihood Initiatives" (indicator 5.1), including:</p> <ul style="list-style-type: none"> 5.1.1 Baseline livelihoods and Perceptions Survey and reassessment 5.1.2 Identification of potential livelihood initiatives 5.1.3 Community eco-cultural tour guide livelihood initiative 5.1.4 Community-run campsites 5.1.5 Support for communities not at focal site <p>And activities on Women's leadership and economic empowerment (Indicator 5.2), including:</p> <ul style="list-style-type: none"> 5.2.1 Development of Gender Action Plan for the Project 5.2.2 Leadership training 5.2.3 Enterprise development training 5.2.4 Micro-enterprise establishment 5.2.5 Peer support groups <p>Furthermore, in relation to opportunities for youth:</p> <ul style="list-style-type: none"> 5.3.1 Climate adaptation youth job creation and skills micro-enterprise development 					



Table 9: Risk and impact management measures						
Social and environmental risks and impacts	Management measures	Feasibility, effectiveness, and sustainability	Location	Costs	Implementation responsibility	Schedule
	<p>5.3.2 Career development support In relation to climate resilience:</p> <p>5.3.3 Ocean Stewards career development and support</p> <p>At the 2 focal sites, climate adaptation activities will include:</p> <p>5.4.1 Community Climate Adaptation Resource Centre/hubs</p> <p>5.4.2 Training, awareness and education</p> <p>5.4.3 Demonstration of climate-smart homestead-based solutions</p> <p>5.4.4 Promote sustainable resource use practices and reservation of important natural cultural sites.</p>					
<p>Principle 6: Gender & vulnerable groups. Women and vulnerable groups are least able to participate in decision-making re. the MPA and EMP; potential for these groups to be adversely affected by access restrictions unknown.</p>	<p>The project socioeconomic baseline (Baseline livelihoods and Perceptions Survey and reassessment) will include the identification of vulnerable groups in the selected Estuary Sites. The stakeholder engagement and impact assessment (see measures in Principle 1 & 2) will ensure the inclusion of vulnerable groups.</p> <p>In relation to gender, the Community Engagement Protocol referred to in Principle 2, will include guidance on engaging with women, youth and vulnerable groups in the project's community work, including impact assessment. The project has a number of women-focused activities listed in Principle 5 above.</p> <p>Development of Gender Action Plan in Inception Phase of the project.</p>	<p>Limited by cultural norms and gender identities in project site. We need to take care not to be disruptive and disrespectful of these while still trying to integrate best practice. Project platforms, staff understanding of these cultural norms will enable this. Sustainability is dependent on each communities receptiveness and individual realisation.</p>	MPA level	1) ESMS Manager Time and Gender specialist time	WILDTRUST, Gender specialist.	1) Inception Phase & throughout project.
<p>Principle 9: Grievance management. Existing grievances and new potential grievances.</p>	<p>1) Translate the grievance mechanism (pre-project);</p>	<p>All within the scope of WILDTRUST and project partner. Sustainability of MPA level grievance</p>	MPA level	1) – 4) Translation	WILDTRUST, EKZNW, Stakeholders	1) – 4) Year 1



Table 9: Risk and impact management measures						
Social and environmental risks and impacts	Management measures	Feasibility, effectiveness, and sustainability	Location	Costs	Implementation responsibility	Schedule
	2) Pre-cursory consultations with affected communities to decide the most appropriate mechanism(s) for submission of grievances. 3) Project Grievance Mechanism to be implemented as written; 4) Project support to EKZNW to design and develop an MPA-level Grievance Mechanism that would allow community members to report grievances.	mechanism implemented by EKZNW committed. Possibility of future application in other regional MPA's.		costs, ESMS manager Time, EKZNW staff time, meeting costs, S&T		
Principle 10 - Law Enforcement (LE). Risk to Rangers and Honorary Officers when confronting individuals or groups practicing illegal activities; risks to community members of misuse of force.	1) Honorary Officers (HO) Standard Operating Procedure (SOP) cross-check needed (8) and then need to ensure there is supervision in place for HOs; for training to be at the level that HOs are fully comfortable with the procedures, legislation, rules and regulations, zones etc.; and Include emphasis on human rights, and consider incorporation of gender-based violence issues. (eg. when working, when informing) and human rights and community – MPA relations. Reference is made to a “General Code of Conduct” (and KZN's wildlife code of conduct) for working under the banner of the MPA. If this exists and	EKZNW is committed to best practices, so don't foresee challenges. Delays may be caused in the implementation of gaps identified in Law Enforcement as this has organisational-level implications.	MPA Level	1) Trainer time, workshop costs, S&T, Staff time 2) Consultant time, staff time 3) Workshop costs, staff time, S&T 4) Design, printing and signage erection costs, S&T	1) WILDTRUST, Consultants, EKZNW. 2) WILDTRUST, PPC members and EKZNW 3) WILDTRUST 4) WILDTRUST, EKZNW 5) WILDTRUST, EKZNW, HO's 6) WILDTRUST 7) WILDTRUST, SEWG, PPC.	1) Year 1 (before delivery of LE equip) 2) Inception phase 3) Year 1-Year 5 4) Inception phase 5) Year 1 (before delivery of LE equip)



Table 9: Risk and impact management measures

Social and environmental risks and impacts	Management measures	Feasibility, effectiveness, and sustainability	Location	Costs	Implementation responsibility	Schedule
	<p>is suitable, this could be used, or if it needs to be developed, the project would support this.</p> <p>2) Implementable Law enforcement strategy to address any local LE tensions by Project Partners Committee (PPC).</p> <p>3) Community sensitisation on the zonation and regulations within the MPA and existing Nature Reserves are built into the Hub awareness activities and into the MP stakeholder engagement process (recognising that the engagement process should allow for potential changes in relation to the specifics of access restrictions (such as species harvested) within the bounds of published legal regulations if it is to be effective; otherwise, it is 'information sharing' or at best 'consultation').</p> <p>4) Updating of signage to include isiZulu and easily accessible information.</p> <p>5) HO training on the zoning, regulations, SA legislation, human rights, community relations, and conflict resolution.</p> <p>6) Consider the development of the Process Framework to consider gill netters, traditional</p>			<p>for site visits for placement</p> <p>5) Trainer costs, workshop costs, S&T</p> <p>6) ESMS manager time, stakeholder consultation – S&T</p> <p>7) Meeting costs, possibly S&T (if in-person meeting needed).</p> <p>8) Consultant time</p>	<p>8) WILDTRUST, Consultants</p>	<p>6) Inception phase</p> <p>7) Year 1-Year 5</p> <p>8) Inception phase</p>



Table 9: Risk and impact management measures

Social and environmental risks and impacts	Management measures	Feasibility, effectiveness, and sustainability	Location	Costs	Implementation responsibility	Schedule
	<p>medicine collectors, and other natural resource users, and inclusion of potential for avoidance (e.g. if an activity is culturally or socially important and cannot be 'restored').</p> <p>7) Community – As part of the Stakeholder Engagement Working Group (SEWG) and Project Partner Committee (PPC) any existing relationship issues between the community and Ezemvelo will be addressed to provide systemic support for EKZNW is addressing these.</p> <p>8) Review of KZN SOPs and alignment with 1) Voluntary Principles on Security and Human Rights; 2) United Nations Code of Conduct for Law Enforcement Officials; 3) Basic Principles on the Use of Force and Firearms by Law Enforcement Officials. Discuss and gaps with EKZNW.</p>					



5 ESMP Monitoring and Supervision

5.1 Organisational structure

WILDTRUST’s organisational structure for the Project during implementation is presented in Figure 8 below, including all implementing partners and collaborating partners. At this stage of project design and development, the organisational structure and organogram are still preliminary in nature. They will be updated and finalised during the first six months of project implementation. Furthermore, this section will continually be updated as changes to the organisational structure are made.

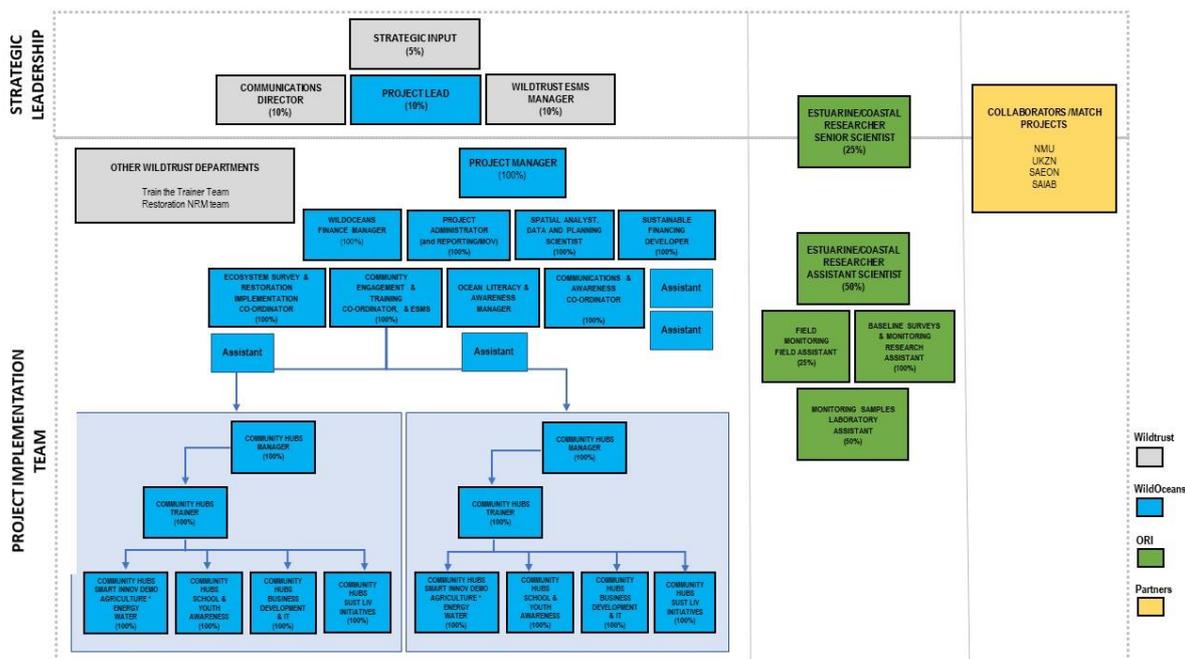


Figure 8: Organisational structure of the project

5.2 Roles and responsibilities

This section provides a general description of the environmental and social roles, responsibilities and functions of WILDTRUST staff members during the implementation of the Project.

WILDTRUST will manage the implementation of the Blue Action Fund ESMS, Project ESMP and associated Safeguard Instruments (Annexes 1-3) throughout project implementation. In addition, WILDTRUST will have either direct responsibility for the implementation of all management measures and mitigation activities or will clearly delegate this responsibility to project partners indicated in Figure 6.

Furthermore, WILDTRUST and its implementation partners will be responsible for implementing the monitoring programmes required to verify that the management measures are achieving their expected results. WILDTRUST will be responsible for disclosure relevant project information³ to identified stakeholders. Finally, WILDTRUST will work closely with the relevant South African government authorities and third-party organisations to initiate necessary capacity building and community development actions.

Responsibility for the implementation of the ESMP, Safeguard Instruments and Blue Action Fund’s ESMS falls under the responsibilities of numerous levels and functions in WILDTRUST organisation, including senior management.

³ Refer to Blue Action Fund’s ESMS Glossary of Terms for a description of Relevant Project Information.



ESMS responsibilities in the WILDTRUST fall inside the Organisational Resilience Department, under the leadership of Departmental Director, Simone Dale. This department is a core function, that services both the WILDOCEANS and WILDLANDS programmes and is guided by the CEO, and two Executive Directors covering operational and programmatic functions. The includes the Executive Director | WILDOCEANS, Dr Jean Harris, who is Project Lead for this project and Executive Director of Finance, HR and Compliance, Ms Shanitha Singh.

All ESMS requirements of the project will be coordinated by the ESMS Manger and her assistant, and implementation responsibility held jointly between the ESMS Manager and the Project Manager. Key support roles include the projects Stakeholder Engagement Manager, and key staff at EKZNW including the Regional Social Ecologist, uThukela MPA Park Manager, and the Community Conservation Officers in the MPA.

Further detail on the accountabilities, reporting lines and responsibilities of key staff members in relation to ESMS and this ESMP will be updated during the first six months of project implementation.

5.3 Training and awareness

WILDTRUST will develop a training, capacity building and awareness programme for all employees and contractors on how to implement the Blue Action Fund ESMS, project ESMP and other Safeguard Instruments (**Annexes 1-3**) appended to this ESMP. In addition, all new employees and contractors will attend a compulsory induction session that will include health and safety, environmental and community awareness, among other topics.

5.4 Monitoring, evaluation and reporting

To determine the effectiveness of the ESMP and to ensure that the management measures contained therein are being implemented, internal and external monitoring and evaluation exercises will be carried out.

Internal evaluations will be carried out by WILDTRUST on an on-going basis, and with focused field-based missions on an annual basis. This monitoring and evaluation will include:

- On-going monitoring of stakeholder engagement activities, documented in the SEP
- On-going monitoring and management of grievances, via the Grievance Register
- Progress tracking of the mitigation measures in this ESMP
- Progress tracking of key participatory processes, such as MPA and EMP consultation processes
- Qualitative annual evaluations of effectiveness of mitigation measures with input from Project Affected Peoples
- Baseline/ re-assessment type evaluation of socioeconomic conditions in affected communities (livelihoods and perceptions).

These activities will be led by the ESMS manager. Annual monitoring missions will also identify if additional environmental or social risks have emerged since the Project started and help establish appropriate mitigation measures for any significant new risks. The ESMS Manager will also seek synergies with the Project's monitoring and evaluation (M&E) plan which might include indicators that can be used for judging the effectiveness of management measures (e.g., livelihood indicators of PAPs).

WILDTRUST will be responsible for reporting to Blue Action Fund on an annual basis, completing the ESMS section of the annual report.

Methods used will include observations and stakeholder consultations (in particular with PAPs). in order to judge the measures' effectiveness. Methods will also include spot-checks and visual observations and interviews and consultations.

The ESMS coordinator will formulate a short ESMS monitoring and evaluation plan in the first 3 months of the project, which will include some of the indicators listed below:

Grievances

- Number of grievances received and recorded (disaggregated by eligible and ineligible) during the reporting/ review period;
- Number of grievances resolved and unresolved.

Stakeholder Engagement

- List of stakeholder events/ activities carried out during the reporting period and the stakeholders targeted;
- Number of participants at each event/ activity (disaggregated by gender) ;
- Proportion of year's planned stakeholder engagement completed during the reporting period.

Serious Incidents

- Number of serious incidents;
- Number of serious incidents still open (inquiry or corrective actions on-going) and closure.

Socioeconomic indicators, including livelihood indicators and perceptions, will be included in the socioeconomic baseline and the ESMS M&E plan.

Finally, the project also has a process for serious incident reporting, detailed in **Section 5.5** below.

5.5 Serious Incident Reporting

WILDTRUST will report all serious incidents caused by or related to the Project that have or could have significant negative impacts on people or on the environment, to the Blue Action Fund. The purpose of reporting serious incidents is to ensure that appropriate responses and corrective actions are taken in a timely manner in order to minimise, mitigate and/or remedy the impacts as well as to avoid repeat occurrences.

A serious incident in this context is defined as: "any unplanned or uncontrolled event with a materially adverse effect on workers, community members or the environment within the project's Area of Influence or events that have the potential to have material or immaterial adverse effects on the project execution or give rise to potential liabilities or reputational risks" (IUCN 2020b, Reporting Serious Incidents). Serious incidents can include, for example:

- Fatalities, serious injuries and accidents at work;
- Fatalities, serious injuries and accidents affecting local communities and others;
- Violations of human rights, including sexual and gender-based violence and harmful child labour;
- Forced evictions;
- Conflicts, disputes and disturbances leading to loss of life, violence or the risk of violence; and
- Environmental impacts.

As such, and due to the risks of association, serious incidents that relate to collaborating partners that the project technically or financially supports, should also be reported, if they occur in the project area, even if they are not directly related to a project activity.

In the case of a serious incident, the incident will be reported by WILDTRUST to the Blue Action Fund Project Manager and the Blue Action Fund ESMS Coordinator within 48 hours of WILDTRUST receiving information of the incident occurring. In cases where detailed information is not immediately available, a draft report will be prepared by WILDTRUST and submitted, with a more comprehensive update being prepared once the details have been established. The report will state whether the incident will be subject to a formal inquiry, criminal investigation or legal proceedings to determine the circumstances of the incident, responsibilities and root causes.

If the incident is not subject to a formal inquiry or legal proceedings, the report will follow the template provided in Annex F.3 (Serious Incident Report), including:



- A detailed description of the incident and its effects on workers, local communities, the environment etc.;
- An analysis of the root-causes, covering the management and control measures that were in place at the time and any failings identified in regard to management or procedures; and
- Details of any response provided, actions taken to remedy the situation, and to prevent its recurrence.

If the incident is subject to a formal inquiry or legal procedure, the findings of the inquiry will be summarised, using the template in Annex F.3, along with a link to and/or an electronic copy of the inquiry’s final report, if it is made available to the public. WILDTRUST will inform Blue Action Fund about any ongoing or future issues related to the incident that may require attention, such as grievances, claims for compensation or other legal action taken by the victims’ families.

Table 10: Serious incident report template to be used during the project.

Serious Incident Report	
General Information	
Project name, country, region	
Executing Agency	
Person and agency submitting the information	
Organisations, agencies and/or companies involved in the incident	
Details of the people affected, status (e.g., if they are working as rangers, volunteers, etc.), names, ages, gender. Details of the community or communities involved	
Details of the Incident	
Date and time the Incident occurred	
Location	
Type of Incident	<i>Fatalities, serious injuries and accidents at work</i> <input type="checkbox"/>
	<i>Fatalities, serious injuries and accidents affecting local communities and others</i> <input type="checkbox"/>
	<i>Violations of human rights or accusation of human rights violations, incl. sexual and gender-based violence and harmful child labour</i> <input type="checkbox"/>
	<i>Forced Eviction</i> <input type="checkbox"/>
	<i>Conflicts, disputes and disturbances leading to loss of life, violence or the risk of violence</i> <input type="checkbox"/>

Serious Incident Report			
		<i>Environmental incidents</i> <input type="checkbox"/>	
Detailed chronological description of the Incident and its circumstances (if possible, with photos)			
Root Cause Analysis			
Detailed description of key causal factors (internal and external), potential management failings and identification of absent/ inadequate/ failed/ unused management and control measures (e.g., non-compliances with ESMS standards or measures)			
Specification of relevant roles and responsibilities of the agencies, authorities and others involved			
Reaction to the incidents by the victims, involved families or communities as well as local/ national/ international media			
Agency or agencies responsible for investigation of the case. What is the scope of the investigation? Does this include a root cause analysis?			
Response and Corrective Actions			
Description of the response (if available) and agencies involved			
Description of any corrective actions, plans or next steps to prevent the incident from recurring or follow up to close the case or proceed with further investigations (include action plan with responsibilities and schedule)			
Incident Report Approval			
	Position	Name	Date
Prepared by			
Approved by (Blue Action Fund ESMS Coordinator)			

5.6 Change management

The ESMP will be routinely updated as the project progresses, including an annual review of progress and reporting to Blue Action Fund.

In the case of any unforeseen circumstances or planned changes to the scope, design, implementation or operation of the project that are likely to cause an adverse change in the environmental or social risks or impacts of the project, the ESMP will be put under immediate review. This can include in the case of changes in project partners, activities, scope and context.

The review and process will include the following steps :

- 1) ESMS coordinator reviews possible implications of the changes, including consulting with Project Affected People and any other relevant stakeholders if deemed necessary;



- 2) If deemed necessary, conduct additional E&S assessment(s) and stakeholder engagement and update on the risk management strategy above;
- 3) Update/ changes to any other relevant Safeguard Instruments associated with this ESMP;
- 4) Internal review and approval;
- 5) Submission to Blue Action Fund for approval;
- 6) Upon approval, disclose, implement and monitor the revised ESMP.