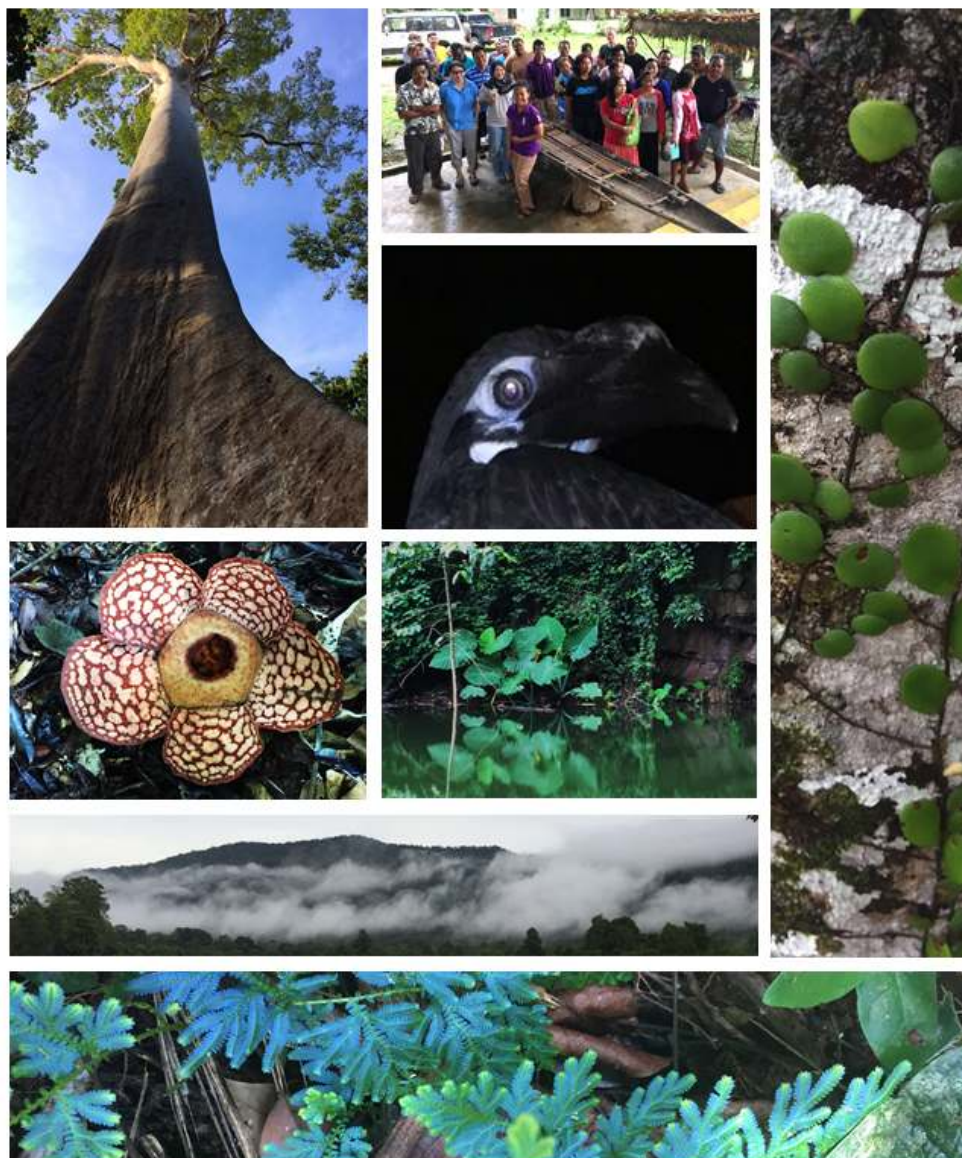


# Mid-Term Review of the Project, “Enhancing Effectiveness and Financial Sustainability of Protected Areas in Malaysia”—Final Report



Prepared By:

James T. Berdach—Lead Consultant / Environmental Finance Specialist

Bee Hong Yeo—Protected Area Specialist

Dr. Ahmad Hezri Adnan—Social Scientist

Prepared for:

United Nations Development Programme—

Malaysia, Singapore, and Brunei Darussalam Office

08 December 2017



Empowered lives.  
Resilient nations.



The PA Financing Project is a national project implemented by the Department of Wildlife and National Parks, Malaysia. It is supported by the United Nations Development Programme (UNDP) with Global Environment Facility (GEF) grant financing.

PA Financing Project  
Department of Wildlife and National Parks, Malaysia  
KM 10, Jalan Cheras, 56100 Kuala Lumpur  
Tel: +603 90866937, +603 89866941

Cover photography: James T. Berdach

## INFORMATION PAGE

Title of UNDP supported GEF financed project	• Enhancing Effectiveness and Financial Sustainability of Protected Areas in Malaysia
UNDP PIMS# and GEF project ID#	• UNDP PIMS#: 3967
MTR time frame and date of MTR report	• GEF Project ID#: 3906
	• MTR Timeframe: May to December 2017
	• Date of MTR Report: December 2017
Region and countries included in the project	• Malaysia
GEF Operational Focal Area/Strategic Program	• Focal Area: Biodiversity
	• GEF-4 Strategic Programs: BD1-SP1-PA Financing, BD1-SP3-PA Networks
Executing Agency/Implementing Partner and other project partners	• GEF Executing Agency: UNDP
	• Other Executing Partners: Economic Planning Unit, Prime Minister's Department; Department of Wildlife and National Parks, Ministry of Natural Resources and Environment (MNRE)
MTR team members	• James T. Berdach—Lead Consultant / Environmental Finance Specialist
	• Bee Hong Yeo—Protected Area Specialist
	• Dr. Ahmad Hezri Adnan—Social Scientist

Source: PIF

## ACKNOWLEDGEMENTS

The members of the consultant team who conducted this midterm review would like to express their gratitude to the staff of the UNDP Country Office for Malaysia, Singapore and Brunei Darussalam, for the support and cooperation provided throughout the course of this assignment. In particular, the assistance and guidance of Ms. Pek Chuan Gan, UNDP Programme Manager, and Ms. Siow Ling Lee, UNDP Environmental Assistant, is gratefully acknowledged. Without their logistical support in arranging meetings, transportation and communication for consultations and site visits, the work undertaken by the MTR team, particularly during the field mission, would not have been possible. The consultants also extend special thanks to Mr. Muthusamy Suppiah, National Technical Advisor; Ms. Justine Vaz, Communications Officer, Ms. Sharul Khuzaini Kasim, Project Executive, Ms. Chin Sing Yun, Project Coordinator (Southern Region), and Dr. Han Kwai Hin, Project Coordinator (Northern Region), for their cooperation and sharing of their insights. Finally, the consultants would also like to express their appreciation to the various stakeholders—personnel of key federal agencies including EPU, NRE and DWNP; State agencies including UPEN, JNPC, TNRP, RBSP; community members; personnel within the target parks and protected areas; NGOs; consultants; and others. The stakeholders gave freely of their time and energy to engage in lively discussions, participate in meetings and workshops, and to share their views and opinions. These were invaluable inputs which contributed significantly to this review.

## TABLE OF CONTENTS

Information Page .....	i
Acknowledgements.....	i
Table of Contents.....	ii
List of Acronyms and Abbreviations .....	iii
Executive Summary.....	vi
Project Description.....	vi
Project Progress Summary.....	vi
MTR Ratings & Achievement Summary Table .....	viii
Concise Summary of Conclusions.....	xi
Recommendation Summary Table.....	xi
 <b>I. Introduction .....</b>	<b>1</b>
A. Purpose of the MTR and Objectives .....	1
B. Methodology .....	1
 <b>II. Project Description and Background .....</b>	<b>4</b>
A. Development Context.....	4
B. Problems That the Project Seeks to Address .....	5
C. Project Description and Strategy .....	6
D. Consistency with Government and UNDP/GEF Plans and Policies .....	10
E. Project Implementation Arrangements .....	11
F. Project Timing and Milestones .....	14
G. Key Stakeholders .....	14
 <b>III. Findings.....</b>	<b>15</b>
A. Project Design.....	15
B. Progress Towards Results .....	26
C. Project Implementation and Adaptive Management .....	43
D. Sustainability .....	53
 <b>IV. Lessons Learned, Recommendations, AND Conclusion .....</b>	<b>56</b>
A. Lessons Learned .....	56
B. Recommendations.....	57
C. Conclusion.....	73
 <b>ANNEXES.....</b>	<b>75</b>
Annex A. List of Documents Reviewed .....	76
Annex B. Representative Questions Used During Stakeholder Consultations and Interviews.....	88
Annex C. Agenda for Stakeholder Dialogue Session (19 May 2017) and Concluding Workshop (9 November 2017) .....	92
Annex D. List of Persons Interviewed .....	97
Annex E. Review of Project Work Planning in Relation to the Project Implementation Plan.....	120
Annex F. Consultant TORs (Excluding TOR Annexes) .....	124
Annex G. Ratings Scales .....	142
Annex H. MTR Mission Itinerary .....	144
Annex I. Code of Conduct for Evaluators/Midterm Review Consultants.....	147
Annex J. Signed MTR Final Report Clearance Form .....	150

---

## LIST OF ACRONYMS AND ABBREVIATIONS

1MBEON	1 Malaysia Biodiversity Enforcement Operation Network
APR	Annual Progress Report
AWP	Annual Work Plan
BIOFIN	Biodiversity Finance Initiative (UNDP project)
CA TS	Conservation Assured Tiger Standards
CBD	Convention on Biological Diversity
CCA	Community Conserved Areas
CDR	Combined Delivery Report
CFS	Central Forest Spine
CI	Creativity Index
CSR	Corporate social responsibility
CTF	conservation trust fund
DWNP	Department of Wildlife and National Parks
ECER	East Coast Economic Region
EPAWM	Effective Protected Area and Wildlife Management
EPU	Economic Planning Unit
ERNP	Endau Rompin National Park
Exco	Executive Committee
FRIM	Forest Research Institute of Malaysia
GEF	Global Environment Facility
GoM	Government of Malaysia
HACT	Harmonized Approach to Cash Transfer
HUTAN	Kinabatangan Orangutan Conservation Project
IBD	Institute of Biodiversity (under DWNP)
IC-CFS	Improving Connectivity in the Central Forest Spine (UNDP project)
IMT-GT	Indonesia-Malaysia-Thailand-Growth Triangle
IRDA	Iskandar Regional Development Authority
IUCN	International Union for the Conservation of Nature
JAKOA	<i>Jabatan Kemajuan Orang Asli</i> (Department of Orang Asli Development)
JNPC	Johor National Parks Corporation
JPA	<i>Jabatan Perkhidmatan Awam</i> (Public Services Department)
KeTTHA	<i>Kementerian Tenaga, Teknologi Hijau dan Air</i> (Ministry of Energy, Green Technology and Water)
KKLW	<i>Kementerian Kemajuan Luar Bandar dan Wilayah</i> (Ministry of Rural and Regional Development)
KWAN	Kumpulan Wang Amanah Negara (Malaysia natural resource fund)
M&E	Monitoring and Evaluation
MACGDI	Malaysian Centre for Geo-spatial Data Infrastructure

MENGO	Malaysian Environmental NGOs
METT	Management Effectiveness Tracking Tool
MHLG	Ministry of Urban Wellbeing, Housing and Local Government
MINDEF	Ministry of Defense
MMBH	Malaysia Mega Biodiversity Hub
MNS	Malaysian Nature Society
MoF	Ministry of Finance
MoSTI	Ministry of Science, Technology and Innovation
MOTAC, MoTOUR	Ministry of Tourism and Culture Malaysia
MPIC	Ministry of Plantation Industries and Commodities
MTR	Midterm Review
MyBIS	Malaysia Biodiversity Information System
MyCAT	Malaysian Conservation Alliance for Tigers
MYTQA	Malaysia Tourism Quality Assurance
NBC	National Biodiversity Center
NBOS	National Blue Ocean Strategy
NCER	Northern Corridor Economic Region
NCTF	National Conservation Trust Fund
NGO	Non-Governmental Organization
NIM	National Implementation Modality
NP	National Park
NPBD	National Policy on Biological Diversity
NPD	National Project Director
NRE/MoNRE	Ministry of Natural Resources and Environment
NSC	National Steering Committee
NTFP	non-timber forest products
PA	Protected Area
PES	Payment for ecosystem services; payment for environmental services
PIF	Project Identification Form
PIP	Project Implementation Plan
PIR	Project Implementation Review
PMU	Project Management Unit
PoWPA	Programme of Work on Protected Areas
ProDoc	Project Document
PSPC	Perak State Parks Corporation
REDD+	reducing emissions from deforestation and forest degradation in developing countries
RELA	<i>Jabatan Sukarelawan Malaysia</i> (Volunteers Department of Malaysia)
ROtI	Review of Outcomes to Impacts

SEASSA	<i>Seksyen Ekonomi Alam Sekitar dan Sumber Asli</i> (Environment and Natural Resource Economic Section)
SMART	Spatial Monitoring and Reporting Tools (patrolling)
SMART	<b>S</b> pecific, <b>M</b> easurable, <b>A</b> ttainable, <b>R</b> elevant, and <b>T</b> ime-bound (indicators)
SP	State Park
SRF	Strategic Results Framework
SS	State Secretary
SSC	State Steering Committee
SUK	<i>Setiausaha Kerajaan</i> , State Secretary
TDM	<i>Tentera Darat Malaysia</i> (Malaysian Army)
TEEB	The Economics of Ecosystems and Biodiversity
ToC	Theory of Change
TOR, ToR	Terms of Reference
UNDP	United Nations Development Programme
UPEN	<i>Unit Perancang Ekonomi Negeri</i> (State Economic Planning Unit)
WCS	Wildlife Conservation Society
WWF-Malaysia	Worldwide Fund for Nature Malaysia

## EXECUTIVE SUMMARY

### Project Description

1. The UNDP-supported and GEF-financed full-sized project entitled “Enhancing Effectiveness and Financial Sustainability of Protected Areas” is being implemented by the Department of Wildlife and National Parks in Malaysia. The PA Financing project was designed to address the sub-optimal management and inadequate resources invested in the protected area system in Malaysia, with primary focus on three protected area (PA) networks covering a total area of 597,858 hectares, managed by the Federal Department of Wildlife and National Parks, Johor National Parks Corporation, and Perak State Parks Corporation.

2. The **objective** of the project is to establish a performance-based financing structure to support effective protected area system management in Malaysia. Interventions to achieve this objective are structured into three outcome components, designed to address barriers at the national network, sub-national network and site PA levels, as follows:

- **Outcome 1:** Systemic and institutional capacities to manage and financially support a national PA system by addressing barriers at the national systems level to improve management effectiveness and financial sustainability of protected areas.
- **Outcome 2:** Technical and institutional capacities to manage sub-national PA networks, including capacities for effective financial management by strengthening the sub-PA network capacity to be able to meet the management standards set under Outcome 1 so as to decrease funding gap of the PA network.
- **Outcome 3:** Effective site-level PA management by improving basic PA management capacities where required, and will also enhance the management and business planning skills of PA managers, to enable the PA system to maximize revenue generation and to streamline costs. Three of the most critical PAs, namely Taman Negara National Park, Endau-Rompin National Park, and Royal Belum State Park, are targeted under this component.

### Project Progress Summary

3. The project began on 5 June 2012 and is in its fifth year of implementation. The project is scheduled to end on 30 June 2019.

4. Progress toward results has not been uniformly achieved across the project objective and the three project outcomes; while some areas have progressed well, obstacles have been encountered in other areas, which have hampered progress. All these factors, including areas of success and areas where constraints continue to exist, are discussed in detail in Section III.B. of this report. In particular, Table 11 of the report presents a detailed analysis of project progress towards achieving results.

5. Selected areas (out of a host of others) where the project has shown significant progress are briefly presented below:

#### **Objective:**

- Financial sustainability scorecards for the three PA networks have improved, and continue to show an improving trend
-



- A National PA Framework is in its final stages of completion

**Outcome 1:**

- The project catalysed a platform for greater networking and engagement of key agencies and partners in PA management in Malaysia
- A Project website was operationalized to serve as the foundation for the national integrated PA management information system
- A PA database was established as an integral element of the Malaysia Biodiversity Information System (MyBIS)

**Outcome 2:**

- At the sub-national level, all three PA sub-networks have shown significant signs of improvement with respect to financial targets (e.g., decreased financing gaps, increased financial allocations, etc.)
- Capacity development scores have also improved for the three target sub-networks, largely as a result of a wide range of training and other capacity-building activities successfully completed under the project. A key milestone was achieved in changing the mindset among PA personnel, on the benefits and importance of working with local communities. This was evident from discussions with personnel from DWNP and JNPC who joined training courses, and with community members themselves.
- The Ministry of Natural Resources and Environment (NRE) has decided to transform the Institute of Biodiversity (IBD) under the Department of Wildlife and National Parks (DWNP) into a national institute for PA and wildlife management, providing targeted capacity building and training programmes to all PA practitioners in the country
- Standardization of PA management has been advanced through project support for a National Framework for PAs; activities related to the PA framework created a platform for communication and coordination among PA agencies and other related agencies (e.g. Forestry Department), including Sabah and Sarawak
- A wide range of project-supported activities have been carried out which have served to promote better coordination, communication, and information- and knowledge-sharing among PAs and related agencies
- Some initial steps have been taken to explore opportunities for revenue diversification for PAs, and it is anticipated that this objective will be further advanced through The Economics of Ecosystems and Biodiversity (TEEB) studies which are soon to be undertaken, and through implementation of the business plans which have been developed for three target PAs

**Outcome 3:**

- Management effectiveness at three target PAs has improved and has been objectively verified through the Management Effectiveness Tracking Tool (METT)
  - Increases in site-based revenue generation, through such mechanisms as entrance fees, permits and other recreation related charges are reported for the three PAs of Taman Negara National Park (NP), Endau-Rompin NP, and Royal Belum State Park (SP)
  - Through joint operations with other enforcement agencies, the Department of Wildlife and National Parks (DWNP) has intensified patrolling activities in PAs and surrounding areas
  - Strengthened enforcement activities have resulted in more arrests and convictions of violators conducting poaching, encroachment and other illegal activities in the PAs.
-

### **MTR Ratings & Achievement Summary Table**

6. The principal purpose of this midterm review (MTR) is to evaluate project progress to-date, and to provide critical recommendations which can help to ensure that project performance is optimized during the time remaining until project closure, so that ultimately, the intended project objective and outcomes are more likely to be realized.

7. Table 1, below, presents a summary of the ratings which have been assigned by the MTR team for the project objective and the three project outcomes.<sup>1</sup> These ratings reflect the degree to which, in the judgement of the MTR consultants, progress has been made that can ultimately support the achievement of the project objective and outcomes. In addition, a rating is presented to reflect the degree to which the project has been successful in its implementation and adaptive management aspects. Finally, a rating is also provided to give an indication of the degree to which it is considered that the project results can be sustained, over a timeframe which extends beyond the life of the project itself. The descriptive section of the table includes not only a presentation of the project achievements, but also of continuing risks, as well.

8. From the description provided here, it should be apparent that the MTR is a key element of the mechanism by which adaptive management of the project can be achieved: it is part of the feedback loop by which information is gathered that can guide decision-making, both to build upon and expand successful project initiatives, and to effect needed “mid-course corrections” in those areas where weaknesses are identified. Such measures will ensure that the project is kept on a trajectory that will lead ultimately to more successful outcomes.

**Table 1. MTR Ratings & Achievement Summary**

Measure	MTR Rating	Achievement Description
<b>Project Strategy<sup>1</sup></b>	N/A	N/A
<b>Progress Towards Results</b>	<p><b>Objective:</b> To establish a performance-based financing structure to support effective Protected Area systems management in Malaysia</p> <p>Achievement Rating:  <b>3: MODERATELY UNSATISFACTORY (MU)</b></p>	<p>While a system has been put in place through the National Conservation Trust Fund (NCTF) which could provide the required PA financing, thus far, large questions remain as to the sourcing for sustained, ongoing funding of the NCTF, and whether or not such funding will be reflective of a performance-based approach.</p> <p><u>Continuing risks:</u> (i) strong mandate for protected area conservation and sustainable financing through a focused policy statement is urgently needed; efforts on sustainable finance will continue to be ad hoc unless a transformational change occurs at the policy and structural levels; (ii) diversification of funding sources is needed to stabilize the flow of funds that are earmarked for PAs; (iii) a stronger country commitment to biodiversity protection through enhancing federal support towards state-level conservation efforts is needed; (iv) funding has not yet been tied to a performance based financing structure, and such a structure has not been clearly defined; (v) safeguards are needed to ensure that any increased investment earmarked for improved PA management, is in fact closely correlated with strengthening biodiversity conservation and addressing conservation priorities; (vi) while the project goal and outcomes reflect appropriate aspirations, the analysis from the MTR indicated that the performance-based concept in financing may have been placed too high in the project results framework (as an objective) and might be more realistically placed as an outcome.</p>

<sup>1</sup> As per UNDP/GEF guidelines, the project strategy is not subject to a rating or evaluation of achievement.

	<p><b>Outcome 1:</b> Systemic and institutional capacities to manage and financially support a national PA system by addressing barriers at the national systems level to improve management effectiveness and financial sustainability of protected areas</p> <p>Achievement Rating: <b>4: MODERATELY SATISFACTORY (MS)</b></p>	<p>A National PA Framework is under development which focuses on setting up uniform criteria for PA establishment and categorization; a national PA management information system has been established; the project has supported PA Managers’ Conferences and World Ranger Day as mechanisms to strengthen management capacity nationwide. METT has been introduced and taken up enthusiastically as a means to self-evaluate PA management effectiveness; the Institute of Biodiversity (IBD) is being transformed into a national training institute to build capacity for PA and wildlife management. <u>Continuing risks:</u> (i) there is a lack of coherent structure for a performance-based financing system, and performance measurement indices have not been developed; (ii) increase in national-level budget support for PAs has not progressed significantly, (iv) there is a lack of initiatives to enhance the capacity of key federal agencies to address sustainable financing of PAs in the annual budget.<sup>2</sup></p>
	<p><b>Outcome 2:</b> Technical and institutional capacities to manage sub-national PA networks, including capacities for effective financial management</p> <p>Achievement Rating: <b>4: MODERATELY SATISFACTORY (MS)</b></p>	<p>Capacity for PA management at the PA network level has been improved through extensive training including the application and adoption of the METT, and knowledge exchange programs; it is expected that capacity will continue to be built through the transformation of the IBD; a variety of activities supported by the project have contributed to better coordination among the three target State agencies; preliminary efforts have been initiated to build capacity in sustainable finance. <u>Continuing risks:</u> (i) little progress has been made to link financing with performance, and improved capacity; (ii) Closer coordination and commitment among PA agencies are needed to ensure that policies and guidelines for PA financing diversification and retention in targeted PA agencies are realised. (iii) mandate is needed for a dedicated person/unit to drive efforts towards meeting PA financing needs.</p>
	<p><b>Outcome 3:</b> Effective site-level PA management</p> <p>Achievement Rating: <b>5: SATISFACTORY (S)</b></p>	<p>Management and business plans completed for the target PAs; METT scores overall improved and METT appreciated as valuable instrument for evaluating management effectiveness; gradual increase in revenues generated at 3 PAs; patrolling at PAs improved through innovative programs (e.g., 1MBEON); progress made in controlling encroachment and poaching. <u>Continuing risks:</u> (i) Despite ongoing efforts and progress in enforcement, poaching continues and threatens the survival of the tiger population in Peninsular Malaysia; (ii) Mandate, support, and adequate capacity for the implementation and monitoring of the management and business plans is needed.</p>
<p><b>Project Implementation &amp; Adaptive Management</b></p>	<p>Achievement Rating: <b>5: SATISFACTORY (S)</b></p>	<p>Seven implementation components (following below) were evaluated. Overall, project implementation was satisfactory. There are also some indications to suggest that the project has been adaptive—and opportunistic—in its management. Among these are the fact that the project extended some activities to apply a landscape level focus to ensure greater ecological integrity. Also the project established linkages or aligned with other government initiatives such as IBD, MyBis, and SMART patrolling, to mobilize cooperation within agencies and among key stakeholders.</p> <p>1. <u>Management arrangements:</u> NSC and PMU meetings were consistent and well attended, however a high level of turnover among attendees of key agencies and partners has had adverse impacts on project effectiveness</p>

<sup>2</sup> Possibly, this aspect will be addressed through the UNDP Biodiversity Finance Initiative (BIOFIN) project.

		<p>2. <u>Work planning</u>: Evidence suggests that consultations conducted as part of work planning process were effective. More time is required to build on early progress in a number of areas, so an extension of project timeframe is suggested. Administrative requirements have resulted in long delays in contracting and procurement, which have affected project scheduling and efficiency.</p> <p>3. <u>Finance and co-finance</u>: Up to December 2016, the project expenditure was USD2,400,820, reflecting a 43% expenditure of the total GEF allocation. Co-financing commitment increased by approximately 42% over the original amount reflecting strong support from the Government with the inclusion of initiatives related to Royal Belum State Park; currency fluctuations have been favourable, increasing available project resources</p> <p>4. <u>Project-level monitoring and evaluation</u>: A variety of project level M&amp;E mechanisms (e.g., HACT Assurance Activity Report, NIM audit report, HACT micro-assessment report, METT) have been utilized and these have generally been effective</p> <p>5. <u>Stakeholder engagement</u>: Stakeholder engagement was initiated in the project planning and inception stages, and subsequently has been leveraged through various partnership arrangements (e.g., with IBD, SMART patrolling, CAITS, MyBis, IC-CFS, BIOFIN); National level consultations have been conducted for PA Framework and Masterlist; engagement has also taken place at the community level, including Orang Asli communities with different levels of engagements at the three sites. Engagement and capacity building efforts have facilitated better relations between park managers and Orang Asli communities especially in ERNP. Benefit sharing to local communities needs to be more clearly articulated and demonstrated in order to promote greater community ownership which can lead to more effective management and enforcement in the PAs.</p> <p>6. <u>Reporting</u>: reporting requirements (e.g., NSC meeting minutes, PIRs, etc.) have been carried out fully</p> <p>7. <u>Communications</u>: Internal communications among project personnel, as well as communications between project personnel and key stakeholders for project planning purposes, have generally been effective. The project has engaged in a robust program for external communications, including the production of high quality informational materials (e.g., trail maps, guidebooks) intended for dissemination to stakeholder community members and the general public.</p>
<b>Sustainability</b>	Achievement Rating: <b>2: MODERATELY UNLIKELY (MU)</b>	<p>There are several significant issues and risks that threaten the sustainability of the project in the foreseeable future. Project actions to-date have been adversely affected by the following factors, and sustainability of key project outcomes may continue to be so affected in the future:</p> <ul style="list-style-type: none"> <li>• Lack of clear definition of "performance-based" financing structure</li> <li>• Lack of appreciation by PA managers on the importance of effective business planning</li> <li>• A need to fully operationalize the NCTF</li> <li>• Long processing time for contracting and procurement</li> <li>• High level of turnover among personnel of key agencies</li> <li>• Continuing conflicts between conservation and development objectives in State planning</li> <li>• Inconsistent levels of commitment from Federal and State government officials, especially at higher levels, to ensuring preservation of natural and biodiversity values</li> </ul>

		<p>The above-mentioned risk factors are significant, and threaten the sustainability of the core project objective and outcomes, especially with respect to the financial sustainability targets. However, the project has achieved success in other important areas, which will likely continue in the future. This is especially true in the area of building knowledge, skills and capacity, both among the public and among PA personnel. Over time, such benefits may “spill over” and help to indirectly support achievement of the originally-intended financial sustainability outcomes.</p>
--	--	--

### **Concise Summary of Conclusions**

9. By its nature, and according to the requirements defined in the TOR, this midterm review has followed a rigorous and exhaustive process to gather and analyse extensive data, in order to obtain fact-based evidence that is credible, reliable and useful for the purposes of the review. Through this process, a detailed, objective, and accurate view of the project progress to-date has been obtained.

10. The overall conclusion of the MTR is that considerable progress has been made, on a number of fronts, that can help to advance the cause of more effective management of PAs in Peninsular Malaysia. Strong successes have been registered, particularly in the areas of improved data management, communications and knowledge-sharing, training, and capacity-building, both among PA managers and personnel, and among stakeholders at the community level. Linkages and cooperation among agencies and institutions with shared objectives and mandates for conserving biodiversity resources have also been strengthened.

11. However, it is noted that significant challenges still remain in other areas that are critical for achievement of the ultimate objective and outcomes originally envisioned for this project. The central intention of the project is to establish a reliable system for sustainable, performance-based financing to support improved management of PAs. In many respects, progress on this front has been limited: it still remains for a definition or policy statement to be formulated, to clearly present the meaning of the concept of “performance-based financing.” Also, key decision-makers at the highest government levels have yet to catalyze strong actions for conserving Peninsular Malaysia’s unique and irreplaceable biodiversity resources, which can only be done through tangible policy and financial commitments.

12. Examining the areas in which the project has been relatively successful, and contrasting those with the aspects where the project has been weak, it soon becomes apparent that the project has had the most success in its efforts at the grass-roots, “on the ground” level, while progress at the higher policy level has been more limited. The intention of the original project design, working on three different levels, was undoubtedly to encourage synergies among all three levels, that would strengthen the overall effectiveness of the project in achieving the intended results. This conclusion has led to the formulation of a series of recommendations that are intended to capitalize upon and broaden past successes, and at the same time, to strengthen those areas where weaknesses have been identified.

### **Recommendation Summary Table**

13. The recommendations which have evolved out of the MTR process, and which are presented in this report, are grouped into two categories: **augmentative**, and **corrective**. The augmentative recommendations are those which are intended to expand upon, strengthen, or replicate project actions which have shown relative success thus far in achieving project results (or leading in that direction). The

corrective recommendations are those which are meant to provide a means for strengthening or putting back on-track those aspects of the project which have shown deficiencies, or which have met persistent obstacles which have hampered successful implementation.

14. Also, an effort has been made to assign priority rankings for the recommendations—the recommendations fall within either high- or medium-priority assigned groups. In addition, some consideration has been given to who the primary responsible parties or units will be for guiding their implementation.

15. A summary of the recommendations which have emerged as a result of this MTR is presented in Table 2. For each recommendation, the following information is given: the general topical category; designation of the recommendation as either corrective or augmentative in nature; an indication of the priority level; and an indication of who the primary responsible parties or units will be for implementation. The recommendations are discussed in much greater detail in section IV.B. of this report. It is expected that, if these recommendations are put into practice during the remaining project timeframe, significant improvements in the implementation of the project can be achieved, leading to more positive project outcomes over the long-term.

**Table 2. Recommendation Summary**

Number <sup>3</sup>	Recommendation	Category	Corrective or Augmentative?	Priority (H=high; M=medium) <sup>4</sup>	Primary Responsible Unit(s) or Party(ies)
1	Implement Key Actions to Achieve Performance-Based Sustainable Financing Standards	Project Design and Project Management	Corrective	H	EPU, NRE, PMU
2	Establish Action Plan on Protected Areas and Sustainable Finance	Financial and Economic	Corrective	H	NRE, EPU
3	Strengthen Budget Planning and Budget Platform	Financial and Economic	Corrective	H	PMU, EPU, MoF, PA Agencies
4	Develop and Pilot-Test Sustainable Financing Mechanisms	Financial and Economic	Corrective	H	PMU, NRE, PA Agencies
5	Promote Institutional Strengthening at All Scales to Achieve Sustainable Financing Goals	Institutional and Capacity-Building	Corrective	H	NRE, MoF, DWNP, JNPC, PSPC
6	Confirm That Government Actions Intended to Support and Strengthen Biodiversity Conservation, Actually Do So	Ecological and Environmental	Corrective	H	PMU, NSC, MoF, EPU
7	Promote Greater Community Engagement and Empowerment	Stakeholder and Community Participation	Augmentative	H	PMU, UNDP, DWNP, PSPC, JNPC, MOTAC, JAKOA
8	Extend the Project Timeframe	Project Design and Project Management	Augmentative	H	UNDP, GEF
9	Continue High-Level Engagement for Greater Buy-In and More Effective Implementation of the	Institutional and Capacity Building	Corrective	H	PMU, DWNP, economist

<sup>3</sup> For further details on these recommendations, refer to these numbers as they appear in the text of the report.

<sup>4</sup> Initially, as part of the MTR process, a “long-list” of more than 20 recommendations was prepared, and these were categorized as either high, medium, or lower priority. In the course of refining the list, the lower-priority recommendations were removed, leaving the 13 recommendations which constitute this final list.

Number <sup>3</sup>	Recommendation	Category	Corrective or Augmentative?	Priority (H=high; M=medium) <sup>4</sup>	Primary Responsible Unit(s) or Party(ies)
	Project				
10	Ensure That Indicators in the SRF are Specific, Measurable, Achievable, Relevant and Time-Bound (SMART)	Project Design and Project Management	Corrective	M	PMU
11	Strengthen Communication and Coordination, and Leverage Collaboration Between the PA Financing Project and Related Initiatives	Project Design and Project Management	Corrective	M	NRE, DWNP, PMU
12	Establish More Effective Communications Platform Linking Up the States of Pahang, Terengganu and Kelantan in Taman Negara	Institutional and Capacity Building	Augmentative	M	NRE
13	Apply a “Theory of Change” Approach	Project Design and Project Management	Augmentative	M	Independent evaluator





## **I. INTRODUCTION**

### **A. Purpose of the MTR and Objectives**

1. A Midterm Review (MTR) has been conducted to assess progress towards the achievement of project objectives and outcomes of the UNDP-GEF full-sized project, “Enhancing Effectiveness and Financial Sustainability of Protected Areas in Malaysia (PIMS#3967) (also referred to herein as “PA Financing Project”). The MTR has been carried out in line with the UNDP/GEF “Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects” (2012). In accordance with this guidance, the MTR assesses:

- i. the project’s strategy;
- ii. the effectiveness of project implementation and adaptive management;
- iii. the risks to project sustainability; and
- iv. early signs of project success or failure, as an indication of progress made towards achieving the intended results.

2. The assessment to be carried out in this review is based upon factual evidence which is credible, reliable and useful. Most importantly, the MTR identifies and recommends changes that may need to be made during the final implementation phase, in order to set the project on-track to achieve its intended results.

### **B. Methodology**

3. The methodology of the MTR has followed the step-wise approach set forth below.

#### **Development of Evaluative Matrix**

4. As per Annex 3 (ToR Annex C) of “UNDP/GEF Guidance for Conducting Midterm Reviews of UNDP-supported, GEF-financed Projects”), an evaluative matrix has been prepared by the MTR team, and is presented in Table 3.

5. As shown in Table 3, the evaluative matrix presents the key questions that are to be answered during the course of the MTR. These questions relate to the following main subject areas:

- Project strategy;
- Progress towards results;
- Project implementation and adaptive management; and
- Project sustainability.

6. The matrix also identifies:

- the various indicators which will reflect whether or not specific conditions or targets are met;
- the sources of data and information to be utilized to support the analysis; and
- the methodology to be employed in gathering the data.

7. Taking all these features into account, the evaluative matrix provides a clear and logical guide for how the MTR is to be conducted.

---

**Table 3. MTR Evaluative Matrix**

<b>Evaluative Questions</b>	<b>Indicators</b>	<b>Sources</b>	<b>Methodology</b>
<b>Project Strategy: To what extent is the project strategy relevant to country priorities, country ownership, and the best route towards expected results?</b>			
Were lessons from other projects incorporated into the project strategy?	Reference of lessons learned from other project captured	Project document and stakeholder interviews	Desk review and interviews
Was the project strategy developed cognizant of national/state sector development priorities?	Consistency with national strategies and policies. Participation of national/state agencies in proposal development	Project document, meeting minutes, national policy documents	Desk review and interviews
Did persons who would potentially be affected by the project have an opportunity to provide input to its design and strategy?	Level of participation of persons potentially affected by the project.	Project document, inception report, stakeholder interviews	Desk review, field visits and interviews
Were gender and social inclusiveness considered in developing the project strategy?	Active stakeholder involvement from both men and women.	Project document, inception report, stakeholder interviews	Desk review, field visits and interviews
<b>Progress Towards Results: To what extent have the expected outcomes and objectives of the project been achieved thus far?</b>			
Have the tracking tools (METT, financial sustainability scorecard, capacity scorecard) shown improvements from inception of the project through the midterm?	Improved scoring from respective tracking tools.	Tracking tools, stakeholder interviews	Desk review and interviews
What remaining barriers exist, to achieving the project objective, within the time remaining until project completion?	Identification of barriers and strategies to address the barriers	Progress reports, meeting minutes, stakeholder interviews	Desk review, field visits and interviews
Based on identified successes, how can the project further expand these benefits?	Replication of successful outputs and evidence of enhanced PA management	Progress reports, meeting minutes, stakeholder interviews	Desk review, field visits and interviews
<b>Project Implementation and Adaptive Management: Has the project been implemented efficiently, cost-effectively, and been able to adapt to any changing conditions thus far? To what extent are project-level monitoring and evaluation systems, reporting, and project communications supporting the project’s implementation?</b>			
Have changes in management arrangements been needed, due to changing conditions?	Results from M&E are used to adjust and improve management decisions	Project Implementation Review (PIR), NSC and PMU minutes, progress reports, stakeholder interviews	Desk review, field visits and interviews with project staff
Have changes been made in management arrangements, and were they effective?	Adaptation and reflection characterize the project management	Project Implementation Review (PIR), progress reports, stakeholder interviews	Desk review, field visits and interviews with project staff and other stakeholders
Has the DWNP been effective in guiding the	Leadership of the National Project	NSC and PMU minutes, project	Desk review, field visits and

Evaluative Questions	Indicators	Sources	Methodology
implementation of the project?	Director and ownership of other DWNP officials	outputs, stakeholder interviews	interviews with project staff
Have the PSPC and JNPC been effective in implementation of the project?	Active role in project activities with catalytic support to the project implementation	Stakeholder interviews, project outputs, METT, financial and capacity scorecards	Desk review, field visits and interviews
Has UNDP been effective in providing support for the project?	Quality and timeliness of support	Stakeholder interviews, project procurement, METT	Desk review, data analysis, field visits and interviews
Were delays encountered in project start-up/implementation, disbursement of funds, or procurement?	Compliance with schedule as planned and deviation from it is addressed	Annual workplan, project audits, project outputs, stakeholder interviews	Desk review, field visits and interviews
Is work planning for the project (i.e., funds disbursement, scheduling, etc.) effective and efficient?	Responsiveness to significant implementation problems	Annual workplan, project audits, project outputs, stakeholder interviews	Desk review, field visits and interviews
Have changes been made to the project results framework?	Variances between initial and existing project results framework	Project Implementation Review, progress reports, stakeholder interviews	Desk review, field visits and interviews
Have co-financing partners been meeting their commitments to the project?	Mobilization of resources by partners beyond project funding	Co-financing reports, CDR reports, stakeholder interviews	Desk review, field visits and interviews
Are the project M&E tools adequate to guide ongoing project management and adaptive processes?	Sufficient budget and fund allocated to M&E and tools aid in its actual undertaking	Tracking tools, stakeholder interviews	Desk review, field visits and interviews
<b>Sustainability: To what extent are there financial, institutional, socio-economic, and/or environmental risks to sustaining long-term project results?</b>			
Following conclusion of the project, what is the likelihood that adequate financial resources will be in place to sustain the project's outcomes?	Opportunities for financial sustainability from multiple sources exist	Project Document, Annual Project Review/PIR	Desk review, field visits and interviews
Is it expected that, upon conclusion of the project, stakeholder ownership will be sufficient to sustain the project's outcomes?	Identification and involvement of champions at the three levels of the project	Progress reports, meeting minutes, stakeholder interviews	Desk review, field visits and interviews
Are legal frameworks, policies, and institutional arrangements favourable for sustaining the project's outcomes following conclusion of the project?	Exist strategies available with policies, legal frameworks, and institutional capacity put in place	Progress reports, meeting minutes, stakeholder interviews	Desk review, field visits and interviews
Are there any environmental risks that could jeopardize the sustainability of the project's outcomes?	Environmental factors or negative impacts are foreseen and mitigation measures are planned	Progress reports, meeting minutes, stakeholder interviews	Desk review, field visits and interviews

### **Document Review**

8. The team has undertaken a thorough review of the rather substantial body of documentation that has been produced over the course of the project. The complete file of project documents was made available to the team electronically through a Dropbox system. Other information sources including documents external to the project itself, websites, etc., have also been utilized as data sources. Annex A includes a list of the primary information resources and reference materials that have been reviewed by the MTR team.

### **Review Mission: Stakeholder Consultations and Other Mission Activities**

9. The MTR team conducted a review mission from 5 to 19 May 2017. The mission enabled the team to make first-hand observations at the project target sites, and to conduct a range of interviews and consultations with key stakeholders. Annex B contains representative questions that were used during the interviews and consultations with various stakeholders. These activities allowed for cross-checking of the “desk studies” of project documents.

10. As a culminating activity of the review mission, a Stakeholder Dialogue Session was conducted at the end of the mission. The purpose of the dialogue session was to share the initial findings of the midterm review with key stakeholders, with the aim to solicit their feedback for subsequent refinement of recommendations.

### **Mission Follow-Up**

11. Following the field mission, additional actions were undertaken to continue information gathering, and verification and validation functions. These actions included follow-up consultations with specific stakeholders, and verification of relevant documentation evidence. A Concluding Workshop was held in Kuala Lumpur on 9 November 2017, during which the MTR findings and recommendations were presented. The afternoon session of the workshop was given over to working group discussions regarding the recommendations and formulation of management responses to the recommendations.<sup>5</sup>

### **Preparation and Structure of the MTR Report**

12. The preparation of this MTR report has entailed a thorough processing and analysis of the detailed and voluminous data which were collected during the course of the review team’s activities. The report follows the structure prescribed in the *UNDP/GEF Guidance for Conducting Midterm Reviews*. In addition to the MTR Final Report, the MTR team has prepared two additional, separate but related files:

- An **audit trail**, which records comments received from various stakeholders concerning the MTR, and the actions and responses by the MTR team; and
- A template for the **Recommendations and Management Response**. It is the understanding of the MTR team that this template will be used by project management (i.e., UNDP and the PMU) to define the specific steps that should be taken in response to the MTR recommendations, in order to be able to effectively implement them.

## **II. PROJECT DESCRIPTION AND BACKGROUND**

### **A. Development Context**

13. Malaysia is considered as one of 17 of the world’s mega-diverse countries with many endemic species of flora and fauna. The flora of Malaysia is estimated to comprise about 15,000 species. The

---

<sup>5</sup> The agendas for both the Stakeholder Dialogue Session, held on 19 May 2017, and the Concluding Workshop, held on 9 November 2017, are presented in Annex C. A list of participants for each of these events is included in Annex D.

---

fauna of Peninsular Malaysia includes over 200 species of mammals and 400 species of resident birds. Almost 90% of terrestrial biological species in Malaysia occur within natural forests. However, Malaysia’s rapid economic development in recent decades has caused loss of forest ecosystems through conversion into agricultural lands and urban areas. This situation has led to a rapid decline in biological diversity, which is characterized by the following threats:

- **Land-use change, resulting in fragmentation and isolation:** Most surviving areas of relatively undisturbed natural habitats are effectively islands in a landscape characterized by transformed and/or degraded ecosystems. For example, extensive tree-crop monocultures of rubber or oil palm or agricultural land surround many surviving high-quality lowland forest areas. This fragmentation results in genetic isolation of populations of endangered species and reduced habitat value due to edge effects.
- **Encroachment, poaching and illegal logging:** Illegal or legal-but-lethal logging is considered to be a growing risk, particularly for more remote forest areas. Similarly, encroachment and land clearance, poaching and the illegal collection of non-timber forest products (NTFPs) such as agarwood (gaharu) are growing pressures. Evidence of widespread poaching also exists, particularly from the seizures of smuggled wildlife at border crossings and regional markets. The scale of poaching is difficult to estimate, as there is currently limited monitoring or systematic estimation of remaining populations for species such as tigers and elephants.

## **B. Problems That the Project Seeks to Address**

14. Recognizing the challenge of balancing development and conservation priorities, Malaysia has established a network of protected areas (PAs) for the protection of biodiversity. In Peninsular Malaysia PAs cover 13.2% of land area, which are managed by either Federal or State governments. Some of the PAs were established prior to the country’s Independence in 1957 (Aiken and Leigh 1992). In the Third Malaysia Plan 1976-1980, it was proposed 22 new PAs be formed in Peninsular Malaysia (Malaysia 1976: p.225)). To date, however, some of the proposed PAs have not been fully established such as the Ulu Muda Wildlife Reserve in Kedah, Mersing Nature Monument in Johor, and Sungai Nenggiri Wildlife Reserve in Kelantan. More recently, the *National Policy on Biological Diversity 2016-2025* aims to achieve 20% of land under PAs. While increasing the area under PA status continues to be a challenge, the management of the existing PAs are constrained by a number of sustainable financing barriers. In general, government expenditures for environmental management and nature conservation are lower than other areas of public policy. Malaysia in a recent study was highlighted as the 7th in terms of underfunding for biodiversity conservation compared to other countries (Waldron et al 2013). As PAs in Malaysia continue to depend heavily on government funding sources from both state and federal agencies, resource commitment in the form of government funding is imperative to ensure the effective management of PAs and conservation of the nation’s biodiversity heritage. Concurrently, investments are needed to facilitate a transformational change to diversify funding sources to support PA management over the long term.

15. The project aims to address sustainable financing barriers at three levels—namely at **national systems** level, at the **sub-national PA network** level, as well as at the **site** level.

16. At the national systems level, barriers include:

- Mismatch in the costs and benefits of establishing PAs, between national and sub-national government authorities; and
-

- lack of consistency, comparability and complementarities amongst different sub-national PA networks and individual sites, which hinders the creation of an effective, representative and well-managed national system.

17. At the sub-national PA network level, barriers include:

- Fragmented planning and management structures, with unclear and overlapping jurisdictions;
- Absence of clear mechanisms for trans-boundary planning and cooperation, or management of trans-boundary PAs;
- Lack of integration between PAs and broader landscape-level land-use and national development planning; and
- Fragmented and inconsistent financial planning and budgetary allocation systems.

18. At the site level, barriers include:

- Inadequate technical and professional management capacities; and
- Lack of systems, policies and mechanisms for PA revenue generation or effective revenue recovery.

### C. Project Description and Strategy

19. The goal of the project is:

***To ensure that protected areas in Malaysia are underpinned by adequate financial and technical resources, within an overall system that ensures representativeness and nation-wide coherence, safeguarding globally significant biodiversity and playing an essential role in the Nation’s sustainable development.***

20. The PA Financing Project is expected to contribute to a singular objective:

***To establish a performance-based financing structure to support effective Protected Area systems management in Malaysia.***

21. In order to achieve its objective, the project is working at three levels – Federal Level; Sub-National (State/Regional) Level; and Site Level. As shown in Table 4, the project interventions are structured into three outcomes and 14 corresponding outputs as the expected results.

**Table 4. Project Outcomes and Outputs at Three Levels**

Outcomes	Outputs
<b>Outcome 1: National Level</b>  Systemic and institutional capacities to manage and financially support a national PA system by addressing barriers at the national systems level to improve management effectiveness and financial sustainability of protected areas	<b>Output 1.1</b> National framework established in support of developing of a national PA system, with uniform criteria for PA establishment and management standards  <b>Output 1.2</b> Performance measurement indices developed and adopted for (i) individual PAs and (ii) overall PA networks with identified targets for financial requirements

Outcomes	Outputs
	<p><b>Output 1.3</b> PA information and knowledge management system established to support the national PA system management</p> <p><b>Output 1.4</b> Budgetary framework created to increase financial support for PAs, allocated on the basis of performance</p> <p><b>Output 1.5</b> Structures and processes created for NRE to provide performance-based operational and capital grants to PAs on the basis of performance against national indices, and other relevant criteria</p> <p><b>Output 1.6</b> Capacity of key Federal (EPU and MoF) and State agencies is strengthened to ensure sustainable financing of PA management is addressed in the annual budget</p>
<p><b>Outcome 2: Sub-National Level</b></p> <p>Technical and institutional capacities to manage sub-national PA networks, including capacities for effective financial management</p>	<p><b>Output 2.1</b> PA network financing plans developed, incorporating strategies for financing source diversification for PA networks</p> <p><b>Output 2.2</b> Policies and guidelines for PA financing diversification and retention institutionalized in the targeted PA agencies</p> <p><b>Output 2.3</b> Three target networks have sufficient institutional capacity to support their PAs to meet national management criteria and access performance-based financial support system</p> <p><b>Output 2.4</b> A Center of Excellence to meet the long-term capacity development needs of PA authorities is established</p>
<p><b>Outcome 3: Site Level</b></p> <p>Effective site-level PA management</p>	<p><b>Output 3.1</b> PA Management Plan developed for target PAs and replicated to other PAs over 20,000 ha</p> <p><b>Output 3.2</b> PA Business Plans developed for target PAs and replicated for PAs over 20,000 ha, clearly identifying cost of implementing the management plan, means of financing the management actions, revenue generation and revenue recovery strategies, with 20% gross revenue increase over the project period for the three target PAs</p> <p><b>Output 3.3</b> Functional capacities of the target PAs improved, meeting the minimum performance criteria under the national standards</p>

Outcomes	Outputs
	<b>Output 3.4</b> Best practices and lessons documented, integrated into communication strategies and used in replication and scaling up

22. To remove the capacity barriers at the site level, the project focuses on three sites: Taman Negara National Park, Royal Belum State Park, and Endau-Rompin National Park. The three target PAs contain over 67% of the total area of wildlife PAs in Peninsular Malaysia. Key attributes of the three sites are shown in Table 5.

**Table 5. Description of Field Sites**

PROTECTED AREA	STATE	AREA (in ha)	RESPONSIBLE AGENCY
Taman Negara National Park	Pahang/ Kelantan/ Terengganu	431,453	Department of Wildlife and National Parks
Endau-Rompin National Park	Johor	48,905	Johor National Park Corporation
Royal Belum State Park	Perak	117,500	Perak State Park Corporation
<b>Total area for the three PAs</b>			<b>597,858 ha</b>
<b>Total PA area in Peninsular Malaysia</b>			<b>784,325 ha</b>

23. The three parks also exemplify all the institutional complexities of the PA system in Malaysia. Taman Negara National Park comprises three separately gazetted areas within three states, Pahang (57% of total park area), Kelantan (24%) and Terengganu (19%). However, the Federal Department of Wildlife and National Parks (DWNP) manages it. The Endau-Rompin National Park in Johor is adjoined by the Endau-Rompin State Park in Pahang, which is managed by the Pahang State Forestry Department. The Royal Belum State Park is one of the two parks managed by the state-owned Perak State Parks Department. It is part of the Belum-Temengor Forest Complex, together with Banding Forest Reserve and Temengor Forest Reserve.

24. Interventions are designed to improve basic PA management capacities where required, and aimed to enhance the management and business planning skills of PA managers, to enable the PA system to maximise revenue-generation and to streamline costs. This project is also targeting to strengthen management effectiveness at the site level, through improved institutional and technical management capacities of sub-national PA networks and guided by the national performance criteria. The three parks will serve both as implementation sites and as demonstration sites for future replication of successful interventions within other PAs.

25. The following sub-sections provide further discussion regarding several key aspects that bear some influence on the review and evaluation of the project.



### **Problem Analysis**

26. The background and situation analysis in the Project Document (ProDoc) provides a detailed description of the context and the partners of the project. This forms a good statement for the project’s country-driven formulation and provides a clear introduction to the problem analysis.

27. Prior to the formulation of the PA Financing Project, Malaysia has benefitted from two external technical assistances on PAs. The first was the ‘Colombo Plan Technical Assistance Programme’ in 1966-1968. The second assistance was provided in 1996 by the Denmark Government through the project known as ‘Master Plan and Capacity Building and Strengthening of the Protected Area System of Peninsular Malaysia’. The latter revealed a number of inconsistencies in the way PAs were accounted for. There were even conflicting gazette notifications for certain areas. Aiming to improve the capacity of DWNP in the conservation of biodiversity and PAs in Peninsular Malaysia, the Plan outlined 60 actions to strengthen and manage all 39 protected areas under its responsibility. In addition, there were numerous other initiatives aiming to address the loss of biodiversity. Despite these efforts, an expanding array of external threats including habitat fragmentation and species loss continually tests the abilities of the Malaysian government to maintain the integrity of the PA systems for which it is responsible.

28. By the late 2000s, there was an increasing recognition that because the challenges of biodiversity governance were systemic in nature, the country was in need of an integrated approach to PA management. In one interview, a former senior official of NRE who was involved in the drafting of the project proposal reflected on strategic thinking at the Ministry around 2009:

*“We thought the only last hope we have for biodiversity is the protected areas, and the Central Forest Spine (CFS) to connect these protected areas.... Unfortunately our PAs are a bit disjointed, so we needed to strengthen them individually. That’s why we came up with the PA Financing project because we realized fund is the biggest issue. Then we realized we needed to connect them, that’s why we had the CFS project. For the CFS the Town and Country Planning Department had done the Masterplan, but we needed the money... With this amount of funding we can do some concrete work. One is to strengthen Belum, Taman Negara and Endau-Rompin. Two, with the CFS funding, we can prioritize which one to link.”*

29. The realization of funding as a critical component of effective PA governance was also highlighted in another DANIDA report ‘Policy Options for Sustainable Financing’. The other main aspect of the PA Financing project, institutional strengthening, was also built into the project design based on previous recommendations and the 1998 National Policy on Biological Diversity. The MTR team found sufficient evidence that lessons from other relevant projects were incorporated into the project design. For example, lessons from other project experience are strongly featured in the ProDoc. However, no strong supporting evidence was found showing that the views of stakeholders who would be affected by project decisions, those who could affect the outcomes, and those who could contribute information and other resources to the process, had been much taken into account during project design processes. Instead, these views were widely solicited during the inception phase through more than ten consultations with various stakeholders.

### **External Changes Since Project Commencement**

30. A number of significant policy and economic changes have occurred since the beginning of project implementation in 2013, which may have had some influence on the project, be they direct or indirect, positive or negative:

- (i) **Oil price decline:** the global drop in oil prices around 2014 has resulted in the concomitant reduction in government revenue from petroleum. In 2016, the

Malaysian government had to recalibrate its budget to optimize its expenditure. With less funding for State governments, some of them may resort in harvesting more timber or converting forest areas for plantation agriculture.

- (ii) **Biodiversity policy:** In 2016, Malaysia revised its 1998 Policy on Biological Diversity (NPBD) in line with the Global Biodiversity Aichi Targets. The current policy has 17 targets and has a clear provision and target on PAs. Target 6 specifies that “By 2025, at least 20% of terrestrial areas and inland waters, and 10% of coastal and marine areas, are conserved through a representative system of protected areas and other effective area-based conservation measures”. In addition, inter alia, it also highlights the need to establish a Framework for a National PA System by 2018, establishment of a PA Master list, and the recognition of Community Conserved Areas (CCAs) as part of national PA System and encourage the participation of indigenous and local communities in CCA.
- (iii) **Development plan:** The Eleventh Malaysia Plan, 2016-2020 emphasizes the need to strengthen financial mechanism in management of natural resources. ‘Green growth’ is considered one of the Plan’s strategic thrusts. The Plan also identifies key ‘focal areas’ and multiple strategies such as payment of ecosystem services (PES) and a review of natural resources charges and taxes that can be contextualized for PAs financing.
- (iv) **Complementary projects:** UNDP Malaysia is also managing the Biodiversity Finance Initiative (BIOFIN) since 2013 and the GEF-funded Improving Connectivity in the Central Forest Spine (IC-CFS) project since 2014. Both projects have complementary components to the PA Financing project.

31. These developments suggest that the project context has changed in several respects, principally related to the economic and policy setting.

#### **D. Consistency with Government and UNDP/GEF Plans and Policies**

32. The Project is fully consistent with key biodiversity policy documents namely the National Policy on Biological Diversity, 2016-2025 and the Common Vision on Biodiversity 2009. In 2016, Malaysia revised its 1998 Policy on Biological Diversity (NPBD) in line with the Global Biodiversity Aichi Targets with a view to halt biodiversity loss. The current policy has 17 targets and has a clear provision and target on PAs. Target 6 specifies that “By 2025, at least 20% of terrestrial areas and inland waters, and 10% of coastal and marine areas, are conserved through a representative system of protected areas and other effective area-based conservation measures”. In addition, inter alia, it also highlights the need to establish a Framework for a National PA System by 2018, establishment of a PA Master list, and the recognition of Community Conserved Areas (CCAs) as part of national PA System and encourage the participation of indigenous and local communities in CCA. Other policies and plans related to biodiversity and PA management include the following:

- National Elephant Conservation Action Plan 2013
  - National Action Plan for the Prevention, Eradication, Containment and Control of Invasive Alien Species in Malaysia, 2013
  - National Strategies and Action Plans on Agricultural Biodiversity Conservation and Sustainable Utilization 2012
-

- National Action Plan on Peatlands 2011
- National Agro Food Policy 2011
- National Physical Plan 11 2010
- National Tiger Conservation Action Plan 2009

33. The Project is fully complementary to the Central Forest Spine Master Plan 2011 whereby Malaysia is committed to a 5.3-million-hectare initiative that will create linkages between the four main forest areas covering the central mountain range in Peninsular Malaysia that will help safeguard species survival. Similarly, the Project further complements The Eleventh Malaysia Plan, 2016-2020, which is the country’s key development policy document. The Plan emphasizes the need to strengthen financial mechanism in management of natural resources. ‘Green growth’ is considered one of the Plan’s strategic thrusts and a ‘game changer’ that will push the country towards sustainability and resilience. The Plan also identifies key ‘focal areas’ and multiple strategies such as payment of ecosystem services (PES) and a review of natural resources charges and taxes that can be contextualized for PAs financing.

34. The Project also resonates with Priority 2b of UNDP’s Country Programme Action Plan Between the Government of Malaysia and the United Nations Development Programme 2016-2020. This priority area focuses primarily on valuing natural capital, reducing environmental impacts, and improving access to quality ecosystem services for low income households. Similarly, this Project contributes directly to GEF-4 Strategic Objective 1: To Catalyze Sustainability of Protected Area Systems.

#### **E. Project Implementation Arrangements**

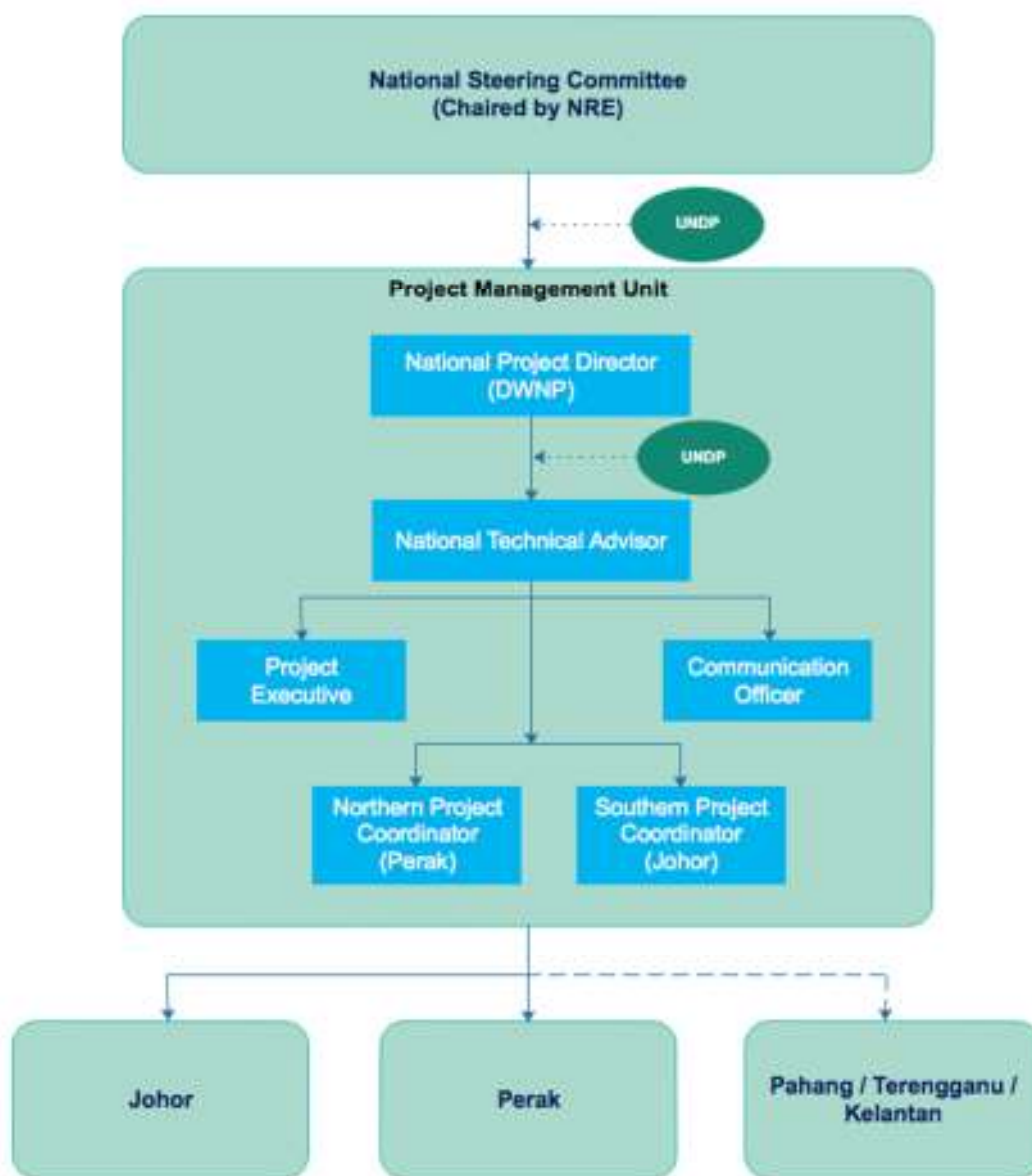
35. The Inception Report, which was tabled at the National Steering Committee (NSC) meeting for adoption on 20th September 2013, has outlined the overall project organization and management structure. The NSC is tasked with the overall responsibility of guiding and advising on the implementation of the project to ensure delivery of targeted outputs and outcomes in line with the project’s objectives. It is chaired by the Deputy Secretary General of the Ministry of Natural Resources and Environment (NRE) with two meetings scheduled in each year. The composition of the NSC includes the Federal agencies such as The Economic Planning Unit, Ministry of Finance, Ministry of Plantation and Commodities, Ministry of Rural and Regional Development, Ministry of International Trade and Industry, Ministry of Energy, Green Technology and Water, Ministry of Tourism and Culture, Ministry of Urban Well-being, Housing and Local Government, Ministry of Science, Technology and Innovation, Department of Wildlife and National Parks, the Forest Department of Peninsular Malaysia, and the Department of Orang Asli Development. NSC membership also includes economic planning and financial officers from five state governments – Perak, Johor, Pahang, Kelantan and Terengganu. Finally, the membership of the NSC also includes civil society representatives from the World Wide Fund for Nature (WWF), the Wildlife Conservation Society (WCS) and the Malaysian Nature Society (MNS).

36. The Biodiversity Management and Forestry Division of NRE and the PMU provide secretariat assistance to the NSC. The PMU is mainly responsible for the daily operation of project activities under the leadership of the National Project Director from the DWNP and the National Technical Advisor. The PMU also holds regular monthly meetings to discuss project progress and concerns. Despite the delayed start-up of the project, the PMU has made significant achievements in setting up the project structure under the direction of the NSC. To date there have been 26 PMU meetings to coordinate the Project’s targets, activities, and budget allocation. In addition, planning retreats are also held to review the overall work plan. Meetings and discussions have also been held throughout the year with the States of Johor and Perak.

---

37. The diagram in Figure 1 presents the project organization in a visual, schematic format. The principal functions of implementing partners are shown in Table 6.

**Figure 1. Project Organization**



Source: MTR Team

**Table 6. Functions of Implementing Partners**

<b>Partners</b>	<b>Description</b>	<b>Involvement</b>
Ministry of Natural Resources and Environment	A mega line ministry with 14 agencies and close to 14,000 staff.	The Ministry is the project Executing Entity with The Deputy Secretary General chairing the National Steering Committee.
Department of Wildlife and National Parks	A federal agency that is in charge of wildlife in Peninsular Malaysia. It manages 35 terrestrial national parks and wildlife reserves in Peninsular Malaysia covering 714,253 hectares.	The Department is the project Implementing Entity.
Johor National Park Corporation (JNPC)	A Johor state agency created under the Johor National Parks Corporation Enactment 1989 for the purpose of managing national parks in Johor. There are 30 personnel stationed at the JNPC headquarters while the bulk of its workforce is stationed onsite. For ERNP, there are 46 staff at the Peta entrance while the Selai entrance has 23 personnel.	JNPC is a PA Network
Perak State Park Corporation (PSPC)	A Perak state agency created under the Perak State Parks Corporation Enactment 2001. The PSPC has two State parks under its purview, namely RBSP and the Pulau Sembilan State Park. As of May 2017, PSPC has 47 posts and with currently 5 permanent positions and the rest filled by contract staff. As for RBSP, there are 12 rangers post and all have been filled.	PSPC is a PA Network

## **F. Project Timing and Milestones**

38. The project identification form (PIF) was submitted to GEF on 3 March 2009 and subsequently resubmitted on 3 February 2010. The project received CEO Endorsement on 30 March 2012, officially started on 5 June 2012 and is scheduled to complete by 30 June 2019. The project’s key milestones are detailed in Table 7, below. The expected dates are based on the indicative calendar of the PIF.

**Table 7. Key Project Milestones**

<b>Milestones</b>	<b>Expected Date</b>	<b>Actual or Revised Date</b>
GEF CEO Endorsement	December 2011	30 March 2012
Project implementation start date (ProDoc signature)	March 2012	5 June 2012
Project implementation completion date	February 2018	30 June 2019

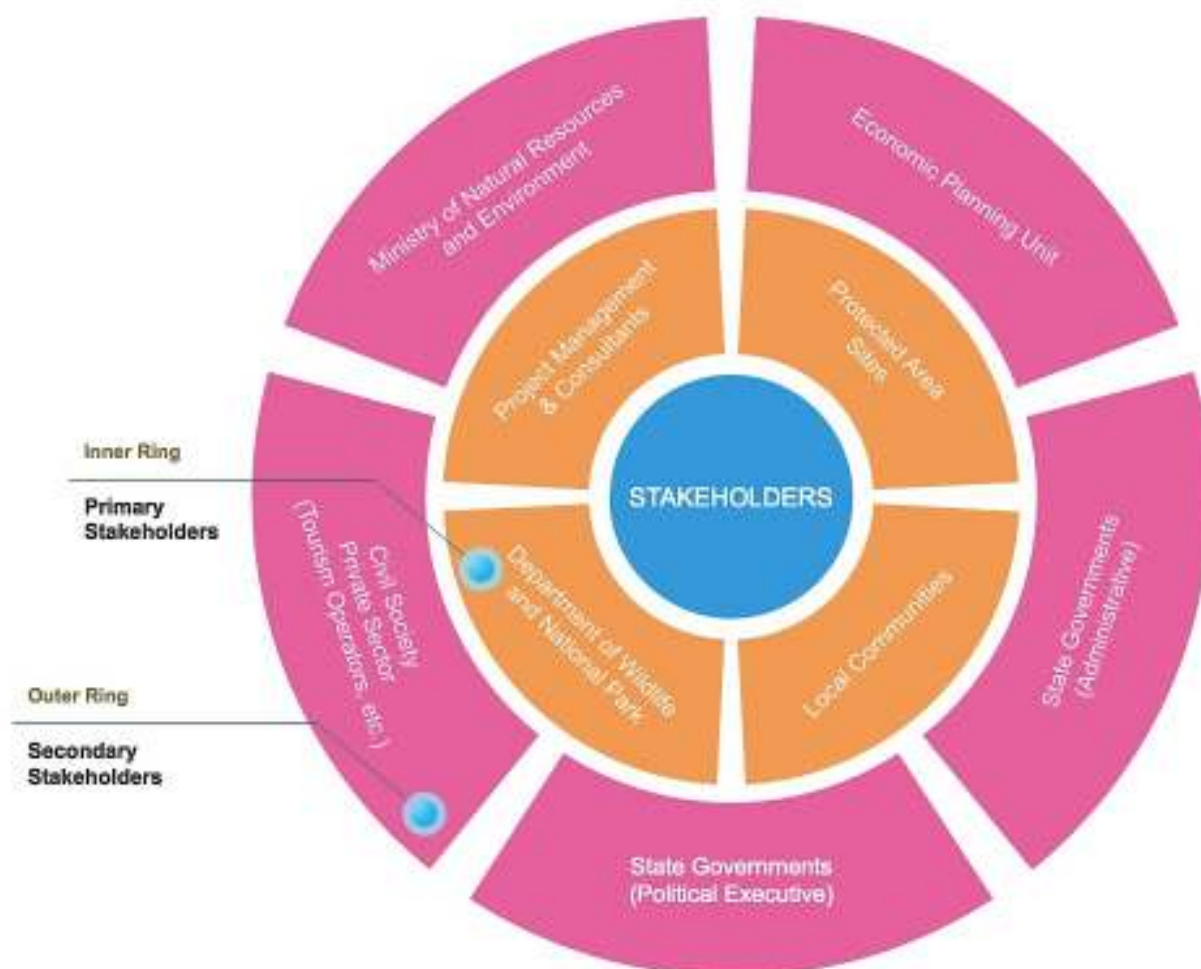
## **G. Key Stakeholders**

39. Participation of project beneficiaries and key stakeholders in all stages of the project cycle is a prerequisite in the project design and implementation. As shown in Figure 2, essentially, there are two groups of stakeholders—primary and secondary. Primary stakeholders are project beneficiaries who are likely to be directly affected by the PA Financing project, and those who are directly involved in its implementation. Included in this group are stakeholders with direct managerial authority, which will be integral to determining the success of the project.

40. The secondary stakeholders are actors and institutions that may be somewhat removed from the project, but who may nonetheless be influenced by it, or affect its implementation. They may for example function in roles in PA management as regulators, policy-makers, activists and opinion-formers. Some of these are members of the NSC while other may influence the project indirectly through their executive, bargaining and positional powers.

41. During the MTR mission in May 2017, the MTR team met with all key stakeholders with the aim of getting their feedback and comments in regard to project achievements and project usefulness. Additional consultations have been carried out following the mission. The names of the key persons consulted during the MTR, are listed in Annex D.

Figure 2. Stakeholders for PA Financing Project



Source: MTR Team

### III. FINDINGS

#### A. Project Design

##### 1. Strategic Results Framework

42. The project goal captures the underlying essence of the project, that is, ***to ensure that protected areas in Malaysia are underpinned by adequate financial and technical resources, within an overall system that ensures representativeness and nation-wide coherence, safeguarding globally significant biodiversity and playing an essential role in the Nation's sustainable development.*** However, the MTR team has found that project goal was not sufficiently emphasized, nor consistently employed throughout the documentation of project design and implementation. Table 8

provides an overview on the referencing of the project goal in various key documents. A review of other project implementation and monitoring documents such as the Project Implementation Review (PIR), Annual Work Plan (AWP) and Annual Progress Report (APR) indicates that the project goal was not referred to in most of the reports.

**Table 8. Reference to Project Goal in Key Documents**

Documents	Reference to Project Goal		
	Main Text	Strategic Results Framework	Others
Project Identification Form (PIF)	√ (point 12)		
Project Document	√ (point 99)		
Inception Report			√ (communication matrix)

43. The main features of the project Strategic Results Framework (SRF)—including objective and outcomes, indicators, and outputs—are presented in Figure 3. The project was well designed and country-driven, with clearly stated situation analysis and programme logic providing a sound basis for project implementation. Feedback gathered during project inception was duly incorporated to effect changes that helped to strengthen the project design. The major changes to the SRF are presented in Table 9.

44. It should also be noted that in 2015, given external changes that had occurred since project commencement in 2013, the PMU had proposed another set of modifications to the outputs, in NSC Progress Report 2/2015. However, these changes are yet to receive feedback from the members of the NSC.

45. While the MTR team found the overall design of the project as presented in the SRF to be quite well thought-out and comprehensive, some weaknesses in the framework were identified. One of these concerned baselines. In several instances, baseline data were lacking. For example, in the case of Objective 1, it will be useful to pay attention to a broader development goal by highlighting the baseline such as the level of country funding for the biodiversity domain in comparison with its other public policy areas, or compared with related biodiversity expenditures in other countries.

46. Another area of weakness noted in the SRF applies to the indicators. According to UNDP/GEF guidelines, indicators in the SRF should be “SMART”, i.e., **S**pecific, **M**easurable, **A**ttainable, **R**elevant, and **T**ime-bound, and the MTR team is tasked to evaluate how well the project indicators adhere to this guideline. A table has been prepared (Table 10) to facilitate the analysis of the project indicators according to the SMART criteria. The results captured in Table 10 suggest that considerable strengthening of many of the indicators of the SRF is needed.



Figure 3. Key Elements of the Project Strategic Results Framework



Source: MTR Team, adapted from various PA Financing Project documents, including ProDoc and Inception Report.

**Table 9. Changes to the SRF Objective and Outputs at Inception**

<b>Original Objective and Outputs</b>	<b>New Objective and Outputs</b>
Original Objective: To establish a performance-based financing structure to support effective Protected Area (PA) system management in Peninsular Malaysia	To establish a performance-based financing structure to support effective Protected Area (PA) system management in Malaysia
Output 1.1: Policy framework established in support of development of a national PA system, with uniform criteria for PA establishment and management standards	National framework established in support of developing a national PA system, with uniform criteria for PA establishment and management standards
Output 1.2: Performance measurement indices developed and adopted for (i) individual PAs and (ii) overall PA networks with identified targets for financial requirements	Performance measurement indices developed and adopted for (i) individual PAs and (ii) overall PA networks with identified targets for financial requirements
Output 1.3: PA information and knowledge management system established to support the national PA system management	PA information and knowledge management system established to support the national PA system management
Output 1.4: Budgetary framework created to increase Federal Government financial support for PAs, allocated on the basis of performance	Budgetary framework created to increase financial support for PAs, allocated on the basis of performance
Output 1.5: Structures and processes created for NRE to provide performance-based operational and capital grants to PAs on the basis of performance against national indices, and other relevant criteria	Structures and processes created for NRE to provide performance-based operational and capital grants to PAs on the basis of performance against national indices, and other relevant criteria
Output 1.6: A national mechanism established for periodic independent review of PA performance and conduct monitoring and evaluation in relation to grant allocation methodologies	Output dropped as monitoring and evaluation will be built into the structures as suggested in activities under Output 1.5
Output 1.7: Capacity of Federal EPU and MoF is strengthened to ensure sustainable financing of PA management is addressed in the annual budget	Capacity of key Federal (EPU and MOF) and state agencies is strengthened to ensure sustainable financing of PA management is addressed in the annual budget
Output 2.1: PA network financing plans developed, incorporating strategies for revenue diversification for PA networks	PA network financing plans developed, incorporating strategies for financing source diversification for PA networks
Output 2.2: Policies and guidelines for PA	Policies and guidelines for PA financing

Original Objective and Outputs	New Objective and Outputs
revenue diversification and retention institutionalized in the targeted PA sub-network agencies	diversification and retention institutionalised in the targeted PA agencies
Output 2.3: Three target PA networks have sufficient institutional and technical capacity to support component PAs to meet national management criteria and access performance-based financial support system	Three target PA networks have sufficient institutional and technical capacity to support their PAs to meet national management criteria and access performance-based financial support system
Output 2.4: Leadership of the management personnel in targeted PA sub-networks strengthened to develop and implement effective PA management strategies	A Centre of Excellence to meet the long term capacity development needs of PA authorities is established.
Output 3.1: PA Management Plan developed for target PAs and replicated to wildlife PAs over 20,000 ha	PA Management Plan developed for target PAs and replicated to other PAs over 20,000 ha
Output 3.2: PA business plans developed for target PAs and replicated for wildlife PAs over 20,000 ha, clearly identifying revenue generation and revenue recovery strategies to increase gross revenues by an average of 20% against revenues at project start	PA business plans developed for target PAs and replicated for PAs over 20,000 ha, clearly identifying cost of implementing the management plan, means of financing the management actions, revenue generation and revenue recovery strategies, with a 20% gross revenue increase over the project period for the three target PAs.
Output 3.3: Technical skills of PA managers and field staff in place for effective implementation of the management plans and business/financing plans	Output dropped as technical skills training moved to output 2.4 as part of the PA Centre of Excellence
Output 3.4 Functional capacities of the target PAs improved, meeting the minimum performance criteria under the national standards	Functional capacities of the target PAs improved, meeting the minimum performance criteria under the national standards
Output 3.5: Best practices and lessons documented, integrated into social marketing/communications strategies and used in replication and scaling up	Best practices and lessons documented, integrated into communications strategies and used in replication and scaling up

Source: PA Financing Inception Report, October 2013.

47. Lastly, identification of performance-based financing as the overall project objective may have been overly ambitious, given the current circumstances. While a performance-based focus is aimed at catalyzing the effectiveness of PA management, it may not necessarily apply to PA financing as a whole; rather, it serves as a complement to various financing mechanisms, to drive effectiveness. In addition, an analysis of the ‘readiness’ to adopt such a system—especially as the overarching project objective—would have likely revealed the fact that in Malaysia, it is too early for the project to have adopted such an ambitious objective. Major efforts are first needed to create an enabling environment in which a performance-based approach to PA financing could be established--by laying down a strong foundation of government commitment, appropriate institutional frameworks, and sufficient technical capacity, for such a system to work.

48. The project outcomes are ambitious, as they aim to address changes at three levels simultaneously. Nonetheless, the targeted changes at multiple levels are undergirded by a logical flow and inter-connection between the end-of-project targets. Thus, if implemented effectively, the outputs can be mutually reinforcing, which can in turn contribute to improved potential for the success of the project overall.

49. In the project inception report (October 2013), the interconnections between project activities are described (refer to Figure 4 of the Inception Report). The concepts presented in that original figure are further elaborated in Figure 4, below. Added to the figure here is a guide to more clearly identify the impact pathways of the project. The figure shows that there are four impact pathways that are supposed to transform the interlinked activities to generate outputs that contribute to the three project outcomes, and eventually, to achievement of the project objective.

50. As mentioned above, the interconnectedness of the various elements of the project is regarded as an inherent strength, since it can have a synergizing effect upon the various actions being undertaken. However, at the same time, weakness in any given element of the project can be transmitted and affect the success or failure of other aspects. In Figure 4, red circles are used to flag those activities where progress has been slow or not as effective as expected. These are regarded to be ‘weak links’ where risks may arise that could ultimately impact overall project success may arise.

51. The project has a major component on performance-based standards at different levels. In relation to the SRF, ‘performance based’ is mentioned in the project objective and outputs 1.1, 1.2, 1.4, 1.5, 2.3 and 3.3. The project document provides some discussion on the need for, and the purpose of, performance based standards.

52. In relation to the **need for** performance based systems:

- *There is no existing system of monitoring performance of individual PAs to evaluate how effectively each PA is managed to achieve national biodiversity objectives (Point 79)*
- *Budget allocation is largely based on the current staff complement of the respective PA agency rather than actual PA management requirements as would be stipulated in a management or business plans. As a result, the government’s financial investment in PA management and operating budget allocation remains sub-optimal and unsustainable. It will be increasingly important to institute needs and performance-based budget processes for PA management, as well as establish policies and guidelines for PA revenue generation and retention (Point 72)*

53. In relation to the **purpose of** performance based systems:

- Establishment of a performance-based Federal-State financial transfer system to provide incentive for State level PA authorities.
-

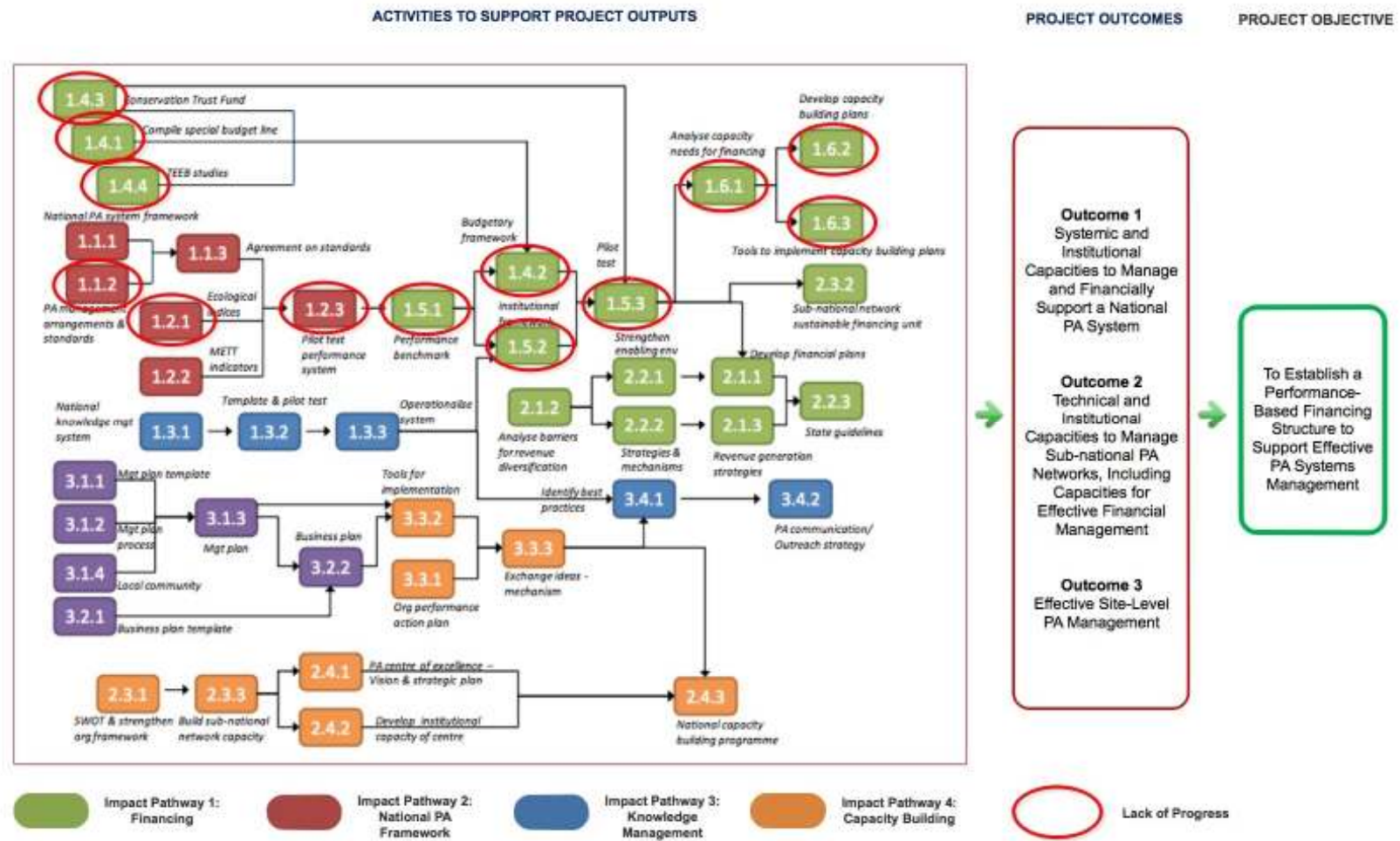
**Table 10. Project Indicators: Are they SMART?**

Indicator	Is the Indicator: (Y = yes; N = no; ? = uncertain)				
	Specific?	Measurable?	Attainable?	Relevant?	Time-bound?
<b>Objective: To establish a performance-based financing structure to support effective Protected Area (PA) system management in Peninsular Malaysia</b>					
Objective Indicator 1: Increase in the Federal Government investment in PA management	N	Y	Y	Y	N
Objective Indicator 2: Financial sustainability scorecard for the 3 PA networks	Y	Y	Y	Y	N
<b>Outcome 1: Systemic &amp; institutional capacities to manage and financially support a national PA System</b>					
Indicator 1: Establishment of the policy framework for the National PA system	Y	Y	N	Y	N
Indicator 2: Integrated PA information and performance monitoring system	N	N	N	Y	N
Indicator 3: Financial incentive system, based primarily on performance indices, established and operational	N	N	N	Y	N
Indicator 4: National PA System mainstreamed in the budgeting process for 5-year Malaysia Plan; increased number of “bankable” projects in support of PA management approved for funding through operational grants.	N	Y	N	Y	N
<b>Outcome 2: Technical and institutional capacities to manage sub-national PA networks, including capacities for effective financial management</b>					
Indicator 1: Financing gap decreased by at least 25 % in the target PA sub-networks (PSPC, DWNP)	Y	Y	Y	Y	N
Indicator 2: Increase in capacity development indicator score (%) for three target sub-national PA networks: DWNP, JNPC, PSPC	N	Y	N	Y	N
Indicator 3: Number of PAs successfully meeting national management criteria and accessing performance-based financial transfers from the Federal system	N	N	N	Y	N
Indicator 4: Economic and financial planning capacity institutionalized in the three sub-national PA network agencies	N	N	N	Y	N
Indicator 5: Coordination between the sub-PA network agencies	N	N	Y	Y	N
<b>Outcome 3: Effective site-level PA management</b>					
Indicator 1: Number of PAs with updated and approved management and business plans with implementation of it	N	Y	Y	Y	N

Indicator	Is the Indicator: (Y = yes; N = no; ? = uncertain)				
	Specific?	Measurable?	Attainable?	Relevant?	Time-bound?
enabling the PAs to meet the national performance criteria required to access additional Federal funding					
Indicator 2: Improved management effectiveness as per METT scores for three target PAs	Y	Y	Y	Y	N
Indicator 3: Increase in gross revenue amount and revenue sources of the three demonstration PAs	Y	Y	Y	Y	N
Indicator 4: <ul style="list-style-type: none"> <li>Length of park patrolled per year</li> <li>Number of patrolling programmes per year</li> <li>Percentage of the area patrolled per year</li> <li>Number of patrolling staff</li> <li>Number of illegal activity (including encroachment and poaching) cases within PA reported</li> </ul>	N	Y	Y	Y	N
Indicator 5: Tiger population as a flagship species in target PAs namely Taman Negara, Endau-Rompin National Park and Royal Belum State Park	N	N	N	Y	N



Figure 4. Schematic Illustrating Connection Between Project Activities



Source: Adapted from PA Financing Project Inception Report

- To facilitate an understanding of the effectiveness of PA management in Malaysia.

54. The Project Implementation Plan (PIP) has the following **activities** identified in relation to performance standards:

- Activity 1.1.2: To collect and analyse local and international PA management arrangements and establish standards.
- Activity 1.1.3: To develop and get agreement on management standards and criteria for PA establishment and prioritised representative PA network through a stakeholder driven process.
- Activity 1.2.1: To identify and agree on ecological indices as part of a performance management and monitoring system.
- Activity 1.2.2: To identify monitoring indicators for management effectiveness (e.g. METT) and agree on their use as part of a performance management and monitoring system.
- Activity 1.2.3: To pilot test a performance system from generation of data to collection, analysis, evaluation and decision making for final adaptation.
- Activity 1.3.3: To test, finalise and operationalise a national level PA information and knowledge management system.
- Activity 1.4.2: To propose a budgetary framework for PA funding that is based on performance and needs within the current development financing and planning (rolling plan) framework
- Activity 1.5.1: To establish the national performance benchmark for the PA management system.
- Activity 1.5.2: To identify and analyse possible institutional structures to provide performance based funding and recommend appropriate structure and mechanisms including monitoring and evaluation
- Activity 1.5.3: To establish a special budget line for Taman Negara and Johor Parks as a test of Park Management performance by 2015.
- Activity 1.6.1: Capacity needs will be analysed and determined as information on the institutional structures and performance based systems are coming in place
- Activity 3.3.1: Develop Park Management organisational performance enhancing action plans taking the starting point from information revealed in the METT Score from the 3 target sites.

55. In addition, **targets** for performance based systems were also identified in the SRF:

- A single framework with clear categorisation of all the PAs in the PA Master List with uniform, accepted management standards and reporting requirements.
- A national integrated PA information system established with the primary function of PA performance monitoring, and decision support for relevant government bodies.

56. The MTR team found that planning for the performance based system during the project design phase was adequate. However, the following challenges and barriers were not anticipated during the project design phase, nor discussed in sufficient detail during the inception phase, resulting in the lack of progress in relation to performance based outcomes.

- As it was recognised that no performance criteria nor monitoring systems specific to PA management exist (SRF, Outcome 1), the capacity and scope for adopting the initiative at the start is expected to be low. The project design did not anticipate the need for thorough deliberation, nor were appropriate initiatives developed to enable the key stakeholders to
-



understand the rationale and role of performance-based monitoring/financing and how it could benefit PA management in Malaysia at the national, state and PA level.

- There is a need to adapt to, and seek harmonization between, the existing political and administrative systems at the federal and state government level, in relation to PA management (PIR 2013, 2014). More consultations and consensus building are required in dealing with different agencies and ministries at different levels.
- There is currently no platform for a harmonised policy direction and ownership in adopting the performance based system, due to the different sets of institutions governing PA management. Efforts are being made to develop a platform through the proposed national PA framework.

## **2. Lesson from Past Experience**

57. During the course of designing the project, lessons from past experience were taken into account, and clearly documented. The ProDoc presents the following as lessons which informed the formulation of the project:

- A number of lessons learned in association with the establishment of conservation trust funds (CTFs) were cited in the ProDoc, These lessons included the following (among others):
    - Government budget allocation processes are not optimally coordinated between various institutional jurisdictions – horizontally, between ministries and agencies, and vertically, between States and Federal Governments
    - CTFs that are too narrowly defined may not attract interest or support from larger investors (such as financial institutions, investment funds or development banks)
    - If there are CTFs that are underutilized or sub-optimally managed, or if it is believed that management effectiveness can be enhanced, it is possible under the Financial Procedures Act to merge CTFs
    - The CTF provides the structure for a new, stand-alone institution with its own governance mechanisms, based on participation of stakeholders. The nature of the fund definition, use, registration and governance need to be carefully considered in this regard
    - CTFs serve as a vehicle to receive funds from a range of sources, public and private, and as such, strategies for mobilization of resources can be optimized more effectively
  - To establish a successful system for performance based payment, the independent assessment of the PA performance assessment and grant allocation process must be objective, fair, and equitable. Development of disincentives for non-compliance should also be investigated, to further motivate PA management performance enhancement
  - To optimize absorption of personnel, and to find innovative ways of engaging and rewarding new staff, lessons can be learned from the experience of the Gulung Mulu National Park in Sarawak which has introduced private sector management of some aspects of the park’s operations
  - Additional lessons may be learned from several related UNDP projects: the UNDP-UNICEF project “Study and Review of the Socio-Economic Status of Aboriginal Peoples (Orang Asli) in Peninsular Malaysia for the Formulation of a National Development Plan for the Orang Asli”(especially given the presence of indigenous people who reside in and around the three target Pas of the project); UNDP-GoM project “Payment for Ecosystem Services,” and the UNDP-GoM project “REDD+ Readiness”.
-

### **3. Social Issues: Community Engagement, Gender**

58. Another weakness in the project design concerns the gender dimension. Gender aspects are not mentioned in the ProDoc and no specific gender approach is included in project design. Interestingly, the 2014 PIR mentioned the following:

*As the project progresses, there is a strong demand to address gender equality in the outputs and activities. This is particularly important in the design of capacity building activities for protected area personnel in the country based on gender analysis and also the engagement of local and indigenous communities in the development of management and business plan of the three target sites.*

59. Similarly, the engagement of local and indigenous communities is hardly mentioned, despite clear opportunities to do so, considering the local context within the three target demonstration sites.

60. With the advent of the United Nations Sustainable Development Goals era especially with its emphasis on the principle of ‘leaving no one behind’, it is important that the project incorporates the broader development effects of the project intervention—specifically, in the areas of gender equality, local community empowerment, and inclusiveness—into the project design and in its SRF.

### **4. Sustainability, and Risks to the Project**

61. There is a direct, inverse relationship between project risks and sustainability: fewer risks translate to a higher probability of project success and sustainability. The risks, and how these affect the prospects for sustainability, were taken into account during the design of the project. The project risks, rating, and mitigation measures are presented on pages 46 to 48 of the ProDoc. They include Federal-State dynamics in relation to commitment for a new budget line and the tension between development and conservation, capacity issues among PA staff, economic downturn, regulatory inertia, reduced level of tourism, and climate change. These risks are also included as assumptions in the project logic. Among the risks, however, there is none included about environmental change – for instance the continuing loss of wildlife especially apex species like tiger – which may shrink the motivation for conserving biodiversity within the PAs in the long run. Additionally, although the ProDoc stated that the risks and the mitigation measures are to be continuously monitored and updated throughout the project, there is no evidence of updating in any of the PIRs thus far. The delay in getting some of the states to commit to the project is a clear indication that the risk rating needs to be revisited.

#### **B. Progress Towards Results**

62. The MTR team is tasked to provide ratings on the project’s progress towards its objective and each outcome. The assessment of progress is based on data provided in the PIRs, supplemented by data provided in the GEF tracking tools, the findings of the MTR mission, and interviews with the project stakeholders.

63. To facilitate this assessment, and following UNDP/GEF guidance, the MTR team has prepared an analytical matrix to assess progress made by the project towards achieving the intended results (Table 11). The matrix summarizes the progress towards the end-of-project targets for the project objective, and for each of the three project outcomes. The information which has been entered into the matrix enables an assessment of the level of achievement, at the midterm, for each indicator that applies to the project objective and the project outcomes. Based on the assessment of the level of achievement,

---

a rating has been assigned for each indicator. The ratings use a color-coded “traffic light” system to highlight the relevant cells of the matrix. The system is structured as follows:

- a) GREEN: target has already been achieved;
- b) YELLOW: target is partially achieved or on-track to be achieved by the end of the project; or
- c) RED: target is at high risk of not being achieved by the end of the project and needs attention.

64. In order to adequately interpret the findings reflected in the “progress towards results” matrix, further detailed explanations are provided in the paragraphs and sections which follow the matrix.

**Table 11. Progress Towards Results Matrix (Achievement of Outcomes against End-of-project Targets)**

**Indicator Assessment Key:**

Target already achieved	Target is partially achieved or on-track to be achieved by the end of the project	target is at high risk of not being achieved by the end of the project and needs attention
-------------------------	---	--

Indicator	Baseline Level	Level in 1st PIR (self-reported) (Based on PIR 2013 for 2012)	End-of-project Target	Rating /Assessment	Justification for Rating
<b>Objective: To establish a performance-based financing structure to support effective Protected Area (PA) system management in Peninsular Malaysia</b>					
Objective Indicator 1: Increase in the Federal Government investment in PA management	<ul style="list-style-type: none"> <li>• USD 7.25 million in 2010 for the DWNP, JNPC and PSPC</li> <li>• USD 6 million in 2011-2012 development budget under 10th Malaysia Plan</li> </ul>	<ul style="list-style-type: none"> <li>• Operating budget (2012): USD8.13 million</li> <li>• Development budget (2011-2012 under 10<sup>th</sup> Malaysia Plan) USD8.6 million</li> </ul>	<ul style="list-style-type: none"> <li>• 25% increase of operational budget in real terms for the 3 target PA networks based on aggregate funding from Federal and State Government source.</li> <li>• 25% increase in development budget under the 5-year Malaysia Plan</li> </ul>	<ul style="list-style-type: none"> <li>• At risk</li> </ul>	<ul style="list-style-type: none"> <li>• From baseline to 2013-2104, the combined operating budget for DWNP, JNPC and PSPC increased (PIR 2013 – 2015)</li> <li>• Development budget rose from baseline, and peaked (at USD17 million) in 2015</li> <li>• Sufficient funding for JNPC and PSPC was sourced from the respective states (PIR 2013).</li> </ul> <p><b>Persistent concerns:</b></p> <ul style="list-style-type: none"> <li>• Risks still exist: funding is dependent upon national economic conditions (PIR 2016), and there is a need for diversification of funding sources to stabilize the flow of funds</li> <li>• A stronger country commitment to biodiversity protection is required, to be reflected in higher levels of funding allocated for this purpose</li> <li>• Funding has not yet been tied to a performance based financing structure; such a structure has yet to be established</li> <li>• The indicator for increased investment is not strongly correlated with strengthened biodiversity conservation—much of the development budget has been earmarked for facilities and infrastructure, which may not directly support conservation objectives</li> </ul>
Objective Indicator 2: Financial sustainability scorecard for the 3 PA networks	<ul style="list-style-type: none"> <li>• DWNP: 49.8%</li> <li>• JNPC: 44.4%</li> <li>• PSPC: 40%</li> </ul>	<ul style="list-style-type: none"> <li>• DWNP: 40.6%</li> <li>• JNPC: 40.6%</li> <li>• PSPC: 29.2%</li> </ul>	<ul style="list-style-type: none"> <li>• DWNP: 60%</li> <li>• JNPC: 55%</li> <li>• PSPC: 50%</li> </ul>	<ul style="list-style-type: none"> <li>• Partially achieved / on track</li> </ul>	<ul style="list-style-type: none"> <li>• Scorecards were conducted at baseline, inception, and before midterm review. A final review is expected in December 2018 at the end of the project, bringing a total of 4 scorecards, instead of 3 as required for full scale projects.</li> <li>• The process involved broad participation, including partners.</li> <li>• The financial sustainability scorecard rating has overall increased with PSPC exceeding the end of project target in 2013.</li> <li>• The reason for the leap in PSPC scores from 29.2% in 2012 to 53.1% in 2013 were attributed to significant improvements in the park’s capacity in financial management and planning with technical support from the Perak State Government</li> <li>• On-going scoring shows a rising trend</li> </ul>

Indicator	Baseline Level	Level in 1st PIR (self-reported) (Based on PIR 2013 for 2012)	End-of-project Target	Rating /Assessment	Justification for Rating
<b>Outcome 1: Systemic &amp; institutional capacities to manage and financially support a national PA System</b>					
Indicator 1: Establishment of the policy framework for the National PA system	No framework exists, resulting in a fragmented PA system with a large number of PAs gazetted under different acts based on varied management standards	<ul style="list-style-type: none"> <li>Built upon the decision to incorporate the Interim PA Masterlist as part of the CBD Programme of Work on Protected Areas Action Plan (PoWPA) in Malaysia under the purview of the Ministry of Natural Resources and Environment (MoNRE).</li> <li>First year focussed on consensus building through consultations with state and PA network agencies to encourage adoption of the PA Masterlist.</li> <li>Challenges recognised:                             <ul style="list-style-type: none"> <li>(i) No common definition and classification of PAs</li> <li>(ii) Discrepancy of PA coverage data</li> <li>(iii) Overlaps of PAs with different classification under multiple gazettments</li> <li>(iv) Existing PAs are governed by multiple federal and state legislations</li> </ul> </li> </ul>	A single framework with clear categorisation of all the PAs in the PA Master List in Peninsular Malaysia, with uniform, accepted management standards and reporting requirements	<ul style="list-style-type: none"> <li>Partially achieved / on track</li> </ul>	<ul style="list-style-type: none"> <li>The National PA Framework is in its final stages of completion. It went through few rounds of consultations through national workshops as well as targeted meetings to build consensus among different agencies and stakeholders. The project included the participation of PA agencies from Sabah and Sarawak and also included marine parks to reflect a truly national entity.</li> <li>The project provided support to finalize the Interim PA Master list and this has now been completed.</li> <li>The project catalysed a platform for greater networking and engagement of key agencies and partners in PA management in Malaysia</li> </ul> <p><b>Other considerations:</b></p> <ul style="list-style-type: none"> <li>Ensure that PAs included in Master list, including classification of PAs perform a biodiversity conservation function, in fact as well as in name;</li> <li>Consider the role of the potential area at the landscape level that important provides connectivity linking biodiversity rich PAs.</li> <li>Put in place appropriate mechanisms to operationalize and implement the Action Plan of the National PA Framework</li> </ul>
Indicator 2 (in part): Integrated PA information system	Neither performance criteria nor monitoring systems specific to PA management exist	<ul style="list-style-type: none"> <li>An implementation plan with detailed activities to support the establishment of a national integrated PA system was outlined during the first PIR.</li> <li>The first PIR noted the need to set up indicators for measuring and monitoring PA performance before setting up the information system.</li> <li>The information system is</li> </ul>		<ul style="list-style-type: none"> <li>Already achieved</li> </ul>	<ul style="list-style-type: none"> <li>Project website operationalized in 2014 to serve as the foundation for the national integrated PA management information system</li> <li>Project consulted FRIM and subsequently received support for hosting a PA database within the Clearing House Mechanism's Biodiversity Database (PIR 2015).</li> <li>Project developed a PA profile template capturing essential management oriented data starting with the three PA sites.</li> <li>The newly established National Biodiversity Centre (NBC) (under NRE) took over the PA Database from FRIM and rebranded the Clearing House Mechanism as the Malaysian Biodiversity Information System (MyBis) (PIR 2016).</li> <li>Strategic links were established between NBC and WWF-Malaysia in sharing knowledge for data verification</li> <li>DWNP and the PA Financing project organized National Framework on PA</li> </ul>

Indicator	Baseline Level	Level in 1st PIR (self-reported) (Based on PIR 2013 for 2012)	End-of-project Target	Rating /Assessment	Justification for Rating
		aimed primarily for PA performance monitoring and guide PA related decision-making processes.			<p>Consultation Meeting in June 2016, introducing MyBis to key federal and state agencies on PAs.</p> <ul style="list-style-type: none"> <li>• Maps were introduced in the PA Masterlist database through collaboration with the NBC.</li> <li>• The project adapted and leveraged an existing database (MyBis) to establish the information system of PAs in Malaysia. It also supported steps to operationalize the information system.</li> <li>• Efforts were made to consult and engage State agencies in adopting, integrating data and updating the Masterlist</li> </ul> <p><b>Additional comments:</b></p> <ul style="list-style-type: none"> <li>• Other opportunities for furthering coordination and data dissemination are still available (e.g., with Malaysian Centre for Geo-spatial Data Infrastructure (MACGDI))</li> </ul>
Indicator 2 (in part): Integrated PA performance monitoring system	Neither performance criteria nor monitoring systems specific to PA management exist	<ul style="list-style-type: none"> <li>• An implementation plan with detailed activities to support the establishment of a national integrated PA system was outlined during the first PIR.</li> <li>• The first PIR noted the need to set up indicators for measuring and monitoring PA performance before setting up the information system.</li> <li>• The information system is aimed primarily for PA performance monitoring and guide PA related decision-making processes.</li> </ul>	A national, integrated PA information system established with the primary function of PA performance monitoring, and decision support for relevant government bodies	<ul style="list-style-type: none"> <li>• At risk</li> </ul>	<ul style="list-style-type: none"> <li>• Framework for performance monitoring has not yet been established</li> </ul>
Indicator 3: Financial incentive system, based primarily on performance indices, established and operational.	No performance-linked financial incentive system exists.		System established supporting a minimum of 866,000 ha of the PA estate	<ul style="list-style-type: none"> <li>• At risk</li> </ul>	<ul style="list-style-type: none"> <li>• Rationale, purpose, definition, scope and impact of a performance based financing system not sufficiently assessed in the ProDoc to justify inclusion as a key aspect of the project objective</li> <li>• The stock-taking analysis of the NCTF did not include assessment of performance-based financing structure in its scope of work.</li> <li>• The draft Operating Guidelines supported by the PA Financing project for NCTF included general criteria for project selection, appropriate indicators, and M&amp;E system, but did not specify performance indicators for PA related projects/initiatives; the 2014 PIR states that a pilot scheme of the performance-based financing structure will be introduced through the NCTF but to date this has not been accomplished</li> <li>• Performance based monitoring has been incorporated into the METT and</li> </ul>

Indicator	Baseline Level	Level in 1st PIR (self-reported) (Based on PIR 2013 for 2012)	End-of-project Target	Rating /Assessment	Justification for Rating
					Financial Sustainability scorecard (GEF tracking tools) at park level, but not linked to financing <ul style="list-style-type: none"> <li>There is no clear indication of progress on performance based incentive systems at the PA network/national level.</li> </ul>
Indicator 4: National PA System mainstreamed in the budgeting process for 5-year Malaysia Plan; increased number of “bankable” projects in support of PA management approved for funding through operational grants.	No budget line for PA management in Malaysia Plan. Currently the budgets for PA infrastructure development is determined based on individual requests from State governments with no systematic planning looking at conservation priorities of the national PA network as a whole.	<ul style="list-style-type: none"> <li>Planning stages through the Implementation Plan (inception report) that was submitted to the Steering Committee in for endorsement (PIR 2013).</li> </ul>	Dedicated PA budget line in Malaysia Plan Budgeting process of PA management/ development is conducted based on increased levels of conservation priorities within the Federal and State funding system, using a range of tools including economic valuation results	<ul style="list-style-type: none"> <li>At risk</li> </ul>	<ul style="list-style-type: none"> <li>The indicator is linked to Output 1.4: “Budgetary framework created to increase financial support for PAs, allocated on the basis of performance.”</li> <li>16. However, progress on the activities corresponding to this output has been limited: <ul style="list-style-type: none"> <li>1.4.1—“to compile cases where special budget lines have been created to cater for the needs of PA management”: no progress noted</li> <li>1.4.2—“to propose a budgetary framework for PA funding that is based on performance and needs within the current development financing and planning (rolling plan) framework”: no progress noted</li> <li>1.4.3—“to establish a Conservation Trust Fund”: accomplished, but scope of the NCTF is not focused specifically on PAs solely and no performance based finance structure is mentioned</li> <li>1.4.4—“to conduct the Malaysian TEEB study to recognize, capture and demonstrate the total economic value of PAs in order to support justification for increased investments in PAs”: soon to commence, after significant delay</li> <li>The project contributed to the NRE draft strategy paper on biodiversity and environmental management submitted to EPU in June 2014 as part of the 11<sup>th</sup> Malaysia Plan budgetary process, advocating for increased resources in PA conservation programme (PIR 2014)</li> <li>In Strategy Paper 12 of the 11<sup>th</sup> Malaysia Plan, PAs are mentioned as Focus Area C: Strategy C1, while Focus Area A includes a strategy on sustainable financing. Each of the three focal sites and their respective PA agencies have applied for budget allocations under the 11th Malaysia Plan (PIR 2015). It is not clear whether the project contributed inputs, time, and support for the applications, nor whether there was any follow-up or successful outcomes</li> </ul> </li> </ul>
<b>Outcome 2: Technical and institutional capacities to manage sub-national PA networks, including capacities for effective financial management</b>					
Indicator 1: Financing gap decreased by at least 25 % in the target PA sub-networks (PSPC, DWNP)	Current financing gaps based on regional benchmark of 196 staff per 1,000 km <sup>2</sup> and US\$ 1,000 per km <sup>2</sup> are: <ul style="list-style-type: none"> <li>DWNP - USD8.69 million</li> <li>PSPC</li> </ul>	Detailed financing gaps analysis being conducted for the three PA networks (PIR 2013).	An average 25% decrease in the financing gaps of the 3 PA sub-network agencies, in real terms through operationalisation of financial management and	<ul style="list-style-type: none"> <li>Partially achieved/ on track</li> </ul>	<ul style="list-style-type: none"> <li>Target for indicator reached</li> <li>All three PA Networks registered notable increases in year 2014 operating budget allocation compared to 2013.</li> <li>For development budget, in 2014 both PSPC and JNPC networks received additional allocation from the Federal Government for eco-tourism related infrastructure development. (PIR 2015).</li> <li>Financing gap analysis results indicate that DWNP and PSPC exceeded the targeted 25% average decrease in financing gap in 2014 (Note: JNPC is not reported here, as it has a budget surplus, rather than a deficit)</li> <li>In November 2015 the project organized a workshop on Sustainable Financing with</li> </ul>

Indicator	Baseline Level	Level in 1st PIR (self-reported) (Based on PIR 2013 for 2012)	End-of-project Target	Rating /Assessment	Justification for Rating
	USD2.12 million		revenue diversification models across the sites.		Johor state. The sessions focused on revenue diversification. Similar support is envisaged for PSPC (PIR 2016). • Management and business plans, completed in 2017, are expected to provide guidance on how PA agencies can improve their financial planning tools and address financing gaps for the three parks (PIR 2016).
Indicator 2: Increase in capacity development indicator score (%) for three target sub-national PA networks - DWNP - JNPC - PSPC	Average - 54% • DWNP 61% • JNPC 61% • PSPC 45%	<ul style="list-style-type: none"> <li>Capacity scorecard assessments were conducted during the inception phase with the following score: <ul style="list-style-type: none"> <li>- DWNP: 64%</li> <li>- JNPC: 58.3%</li> <li>- PSPC: 49%</li> </ul> </li> <li>The reason for the drop by 5% in JNPC could be due to the fact that many personnel are hired on a contract basis (PIR 2013).</li> </ul>	An average 10% increase of the capacity development indicator score for each target sub-national PA networks. - DWNP: 70% - JNPC: 70% - PSPC: 55%	• Already achieved	<ul style="list-style-type: none"> <li>Capacity score for DWNP and JNPC was at 63.5% compared to the target of 70% while PSPC reached the end of project target of 55% (PIR 2016) (See <b>Figure 5</b>).</li> <li>JNPC's improved score is mainly due to: greater legal capacity for enforcement arising from the revision of JNPC Enactment; increased number of staff</li> <li>PSPC improvements stemmed from: revision of the State Park Enactment to strengthen enforcement and penalties; cooperation between PSPC and other agencies (DWNP, State Forestry Department and the Royal Army Force) through the 1MBEON cooperation program</li> <li>The project has been supporting the following capacity building initiatives: <ul style="list-style-type: none"> <li>• IBD Transformation (EPAWM course)</li> <li>• Development of training materials</li> <li>• train the trainers empowerment</li> <li>• equipping GIS training lab at IBD</li> <li>• supplying important reference books materials on wildlife and PA management</li> <li>• developing original materials (maps, guidebooks) to enhance knowledge dissemination both for park personnel and the general public</li> <li>• sending personnel from the three PA focal sites for training locally and internationally (Sarawak, Korea, WII-India, Smithsonian)</li> <li>• supporting Orang Asli communities (learning trips and support for development of management plan)</li> <li>• Training for METT/tracking tools</li> <li>• Capacity building and training needs assessment for the three focal parks as part of the management and business plan development</li> <li>• Building networking arrangements for park rangers, PA managers</li> <li>• Facilitating National PA Framework discussions</li> <li>• Producing Proceedings for the 1st National PA Managers Conference (June 2014)</li> </ul> </li> </ul> <p><b>Other Considerations (cited in PIR 2015):</b></p> <ul style="list-style-type: none"> <li>Through the Public Service Department, Federal government has approved 66 additional positions, to be deployed mainly to intelligence and forensic units that will assist DWNP in strategizing enforcement and patrolling activities in Pas</li> <li>State Governments of Johor and Perak have approved additional positions for JNPC and PSPC on permanent basis instead of the current contractual modality</li> <li>NRE has decided to transform Institute of Biodiversity (IBD) under DWNP</li> </ul>



Indicator	Baseline Level	Level in 1st PIR (self-reported) (Based on PIR 2013 for 2012)	End-of-project Target	Rating /Assessment	Justification for Rating
					into a national institute for PA and wildlife management, providing targeted capacity building and training programmes to all PA practitioners in the country
Indicator 3: Number of PAs successfully meeting national management criteria and accessing performance-based financial transfers from the Federal system	No baseline exists	<ul style="list-style-type: none"> <li>The national management criteria have yet to be established (PIR 2013)</li> </ul>	At least eight (8) among the terrestrial PAs over 20,000 ha under DWNP, JNPC and PSPC	<ul style="list-style-type: none"> <li>At risk</li> </ul>	<ul style="list-style-type: none"> <li>The national management criteria for performance-based financial transfers from federal to sub-national are yet to be established.</li> <li>While it was planned that performance-based monitoring and evaluation system would be pilot-tested through the operationalization of the NCTF by mid-2015, this has not yet materialized (PIR 2014 and 2015).</li> <li>There is a lack of documentation or analysis that demonstrates progress, or that past efforts to mainstream performance-based financing are linked to METT or other tracking tools</li> </ul> <p><b>Other considerations:</b></p> <ul style="list-style-type: none"> <li>The development of management plans for the three target sites can provide important feedback to establishing the basis for national management criteria (PIR 2015)</li> <li>PIR 2016 noted that under the current budgetary system and financial allocation mechanisms practiced by Government (a sector-based approach), it might not be possible to introduce performance-based criteria or standards to determine the financial allocation quantum for a specific sector (e.g., for PAs and wildlife conservation). However, it may be possible within the Departments to introduce performance-based criteria. In this regard, DWNP has taken some initiative to incorporate METT as part of its management performance monitoring tool for a few parks under its jurisdiction</li> </ul>
Indicator 4: Economic and financial planning capacity institutionalized in the three sub-national PA network agencies	There is minimal human capacity or institutional structure to address issues of financial sustainability.	<ul style="list-style-type: none"> <li>Specific activity has been included in the Project Implementation Plan to explore the possibility for establishing a sustainable financing unit to build up expertise to solicit funds (PIR 2013).</li> </ul>	A unit is established in each of the sub-national PA agency dedicated to revenue diversification that will ensure financial sustainability	<ul style="list-style-type: none"> <li>Partially achieved / on track</li> </ul>	<ul style="list-style-type: none"> <li>Main aim of this indicator is to explore the possibility of establishing sustainable financing units in the PA agencies (PIR 2014); it was ascertained that all agencies already have specific units in place that are responsible for financial planning, hence the focus should be to enhance the skills for sustainable financial planning within these units (PIR 2015)</li> <li>Current practice is based largely on government budgetary allocations and there is limited focus at present on diversification of funding sources and ensuring performance-based financing</li> <li>All Federal Ministries and agencies are expected to apply outcome-based budgeting from 2016/2017 onward (PIR 2015)</li> <li>A range of options and opportunities for revenue diversification at site and agency levels have been explored (Sustainable Financing Workshop, Johor, 3 November 2015); further advancement of the sustainable financing strategies proposed for Johor is being considered; similar support is also envisaged for PSPC</li> <li>Further efforts will likely explore options for enhancing in house capacity for revenue diversification as recommended in draft business plans for PSPC and JNPC (PIR 2016)</li> </ul>

Indicator	Baseline Level	Level in 1st PIR (self-reported) (Based on PIR 2013 for 2012)	End-of-project Target	Rating /Assessment	Justification for Rating
					<p><b>Other Considerations:</b></p> <ul style="list-style-type: none"> <li>While progress has been made towards achieving results for this indicator, greater success in operationalizing sustainable financing mechanisms might have been achieved, had discussions and consideration of this subject been initiated sooner</li> <li>At the <u>project</u> level, the principles of sustainable financing have not yet been defined; this is required as an important step in order to enable the actual implementation of sustainable financing mechanisms</li> <li>Also, at the higher <u>policy</u> level, it is necessary to establish a mandate by formulating a sustainable financing policy/statement which can support the implementation of sustainable financing initiatives</li> <li>It is necessary that dedicated personnel or unit be assigned to work on business plans and sustainable finance initiatives</li> </ul>
Indicator 5: Coordination between the PA agencies	Minimal coordination mechanisms	<ul style="list-style-type: none"> <li>The Institute of Biodiversity (IBD) under DWNP has the potential to be transformed into a PA Centre of Excellence providing coordinated programmes in terms of training, capacity building and management practices. (PIR 2013)</li> </ul>	Three agencies have common management approaches, PA performance monitoring mechanisms, and capacity development programmes	<ul style="list-style-type: none"> <li>Already achieved</li> </ul>	<ul style="list-style-type: none"> <li>The project supported the transformation of the IBD into a Centre of Excellence for PA and wildlife management; IBD's training programmes extend to all PA networks, thus providing a platform for greater networking and communication among PA agencies in Malaysia (PIR 2014), and a common national training platform for personnel from PA agencies (PIR 2015)</li> <li>The project has contributed towards standardization of PA management through its support for the National Framework for PAs; at the same time, consultation activities related to the PA framework created a platform for communication and coordination among PA agencies and other related agencies (e.g. Forestry Department) (PIR 2015)</li> <li>Planned development of a standardized template for PA management and business plans is another way in which standardisation and coordination among PA agencies will be supported (PIR 2015).</li> <li>In 2015, 15 participants from Taman Negara NP and Pahang State Government participated in a four-day training/exchange programme at Endau Rompin hosted by JNPC. In 2016, DWNP and Taman Negara NP reciprocated by hosting staff and communities from Endau Rompin NP</li> <li>Rangers from PSPC, JNPC and DWNP were supported to attend a World Ranger Day programme hosted by Sabah Parks and WWF-Malaysia in August 2015.</li> <li>Project provided assistance with planning and support for the World Ranger Day programme organized by WWF-Malaysia with the Forest Department Sarawak at Kubah National Park in August 2016.</li> </ul> <p><b>Other considerations:</b></p> <ul style="list-style-type: none"> <li>Provide continuing support for recurring events to strengthen conservation (e.g., World Rangers Day, PA Managers Conference)</li> <li>PA Management and Business Plans prepared with project support can be utilized for preparation a standardized template for adoption by Pas nationwide (PIR 2015).</li> </ul>

Indicator	Baseline Level	Level in 1st PIR (self-reported) (Based on PIR 2013 for 2012)	End-of-project Target	Rating /Assessment	Justification for Rating
<b>Outcome 3: Effective site-level PA management</b>					
Indicator 1: Number of PAs with updated and approved management and business plans with implementation of it enabling the PAs to meet the national performance criteria required to access additional Federal funding	No baseline exists	<ul style="list-style-type: none"> <li>The national management criteria and performance based financial transfers have yet to be set up.</li> <li>Initial reviews were conducted on the status of management plans in the three PAs. The findings indicate that new/revised management plans are needed (PIR 2013). Business plans for the three PAs have not been developed previously.</li> </ul>	All 3 target PA sites have approved management and business / financing plans 20% increase in federal allocation of funding	<ul style="list-style-type: none"> <li><b>Partially achieved / on track</b></li> </ul>	<ul style="list-style-type: none"> <li>Management and business plans completed (first drafts delivered by the consultancy in May 2016; plans presented to the key stakeholders—PA management authorities, State Governments, and local communities from the three sites</li> <li>A standard template describing the key elements of a PA management plan was elaborated at a national stakeholder consultation workshop held in June 2016</li> <li>However, the national criteria and performance based financial transfers have yet to be set up – still at the same level as the first PIR</li> <li>Gap Analysis and Stocktaking exercise completed; found very useful particularly to the PA Authorities; gap analysis on legislation and enactments governing PA management helped to highlight the weaknesses and inadequacies of the legislation in terms of expounding the mandate, roles and functions of PA management authorities</li> <li>PA management authorities (DWNP, JNPC and PSPC) are in the process of undertaking a thorough review of their respective legislation based on the key findings of the gap analysis</li> <li>Through the engagement of a legal expert, project will provide technical support to the State Government (PIR 2016)</li> <li>Discussions on the replication of developing a management plan for the Gunung Ledang National Park Johor have been initiated</li> </ul>
Indicator 2: Improved management effectiveness as per METT scores for three target PAs.	METT scores in 2010: DWNP: 74 JNPC: 58 PSPC: 53	Results of METT in 2013: DWNP: 56 JNPC: 53 PSPC: 56 Training on the METT was carried out for the three sites Potential reasons for the lower scores for Endau Rompin and Taman Negara were recorded due to the increasing threats faced at the two sites for illegal hunting and poaching (PIR 2013).	Average 10% increase in METT scores for 3 target PAs Taman Negara (DWNP): 82 Endau-Rompin (JNPC): 68 Royal Belum (PSPC): 65	<ul style="list-style-type: none"> <li><b>Partially achieved / on track</b></li> </ul>	METT scores for 2014 (PIR 2015): Taman Negara NP 74.5% (score 76) Endau-Rompin NP 59.8% (score 61) Royal Belum SP 66.7% (score 70) The METT score for Taman Negara remained little changed from baseline at 74.5%. The METT score for Endau Rompin registered a slight increase Royal Belum SP recorded a score of 70, exceeding the project target In 2015, PA Division of DWNP enhanced its monitoring of protected areas through the use of drones; the PA Financing Project supported two training courses (held in Oct 2015 and Feb 2016) for 10 rangers and officers to enhance their skills using the new drones for monitoring (PIR 2016). DWNP has also been stepping up its boundary demarcation exercises. Five PAs have been inspected based on their Certified Plans and signs have been installed to clearly mark the protected area boundaries (PIR 2016). Through the project, PA agencies have come to appreciate the value of the METT as an evaluation tool Benefits of applying a consultative approach by including the participation of partners during the METT assessment has also been recognized; being considered for adoption by DWNP as a “standard operating procedure” for their other sites

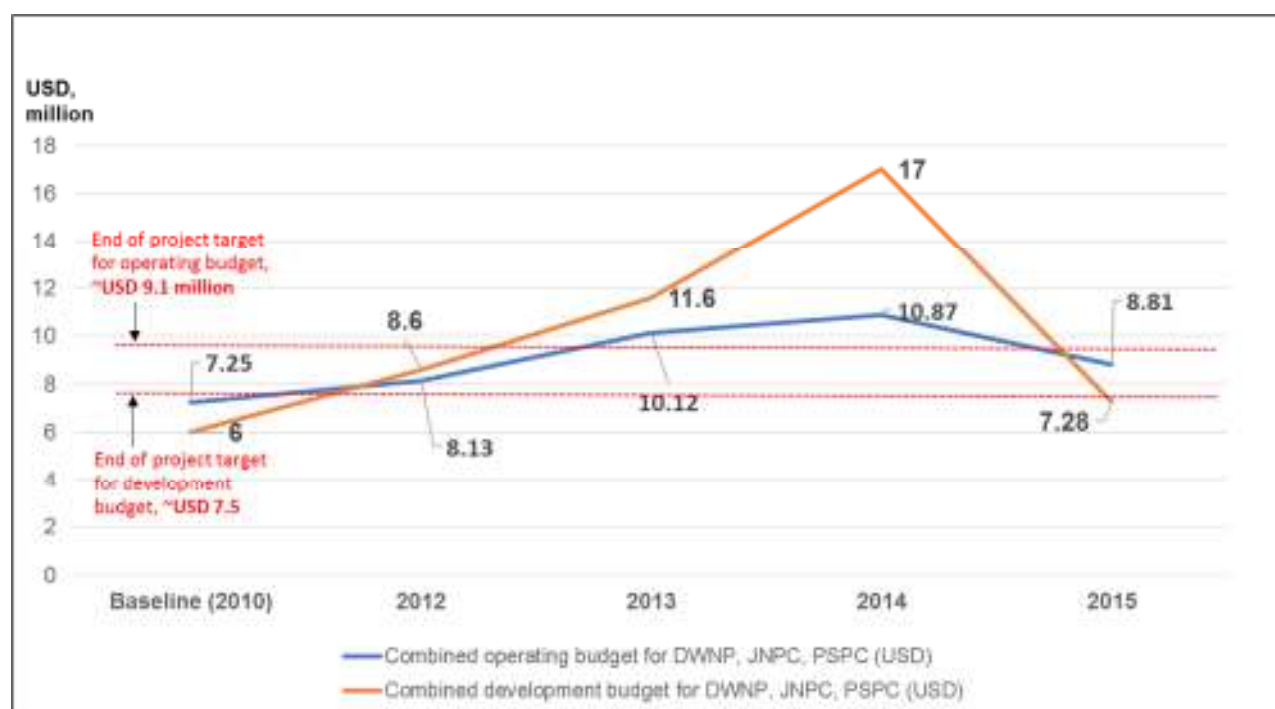
Indicator	Baseline Level	Level in 1st PIR (self-reported) (Based on PIR 2013 for 2012)	End-of-project Target	Rating /Assessment	Justification for Rating
Indicator 3: Increase in gross revenue amount and revenue sources of the three demonstration PAs	<ul style="list-style-type: none"> <li>Taman Negara MYR 350,000 from entrance fees and recreational related charges</li> <li>Endau-Rompin National Park MYR 216,172 from entrance fees, tourism and recreational charges, income from concessions</li> <li>Royal Belum State Park MYR 126,000 from entrance fees and recreational related charges</li> </ul>	<ul style="list-style-type: none"> <li>Initial assessment during the inception phase indicates that there is a potential to increase fees imposed currently as a means to increase revenue (PIR 2013).</li> <li>The challenge is to create an enabling environment for PAs to retain the revenue generated and to earmark them for park management (PIR 2013)</li> </ul>	20% increase in gross revenue for the 3 target PA sites over the project period.	<ul style="list-style-type: none"> <li>Already achieved</li> </ul>	<ul style="list-style-type: none"> <li>Increase in revenue from 2010 for the three sites. These increases in revenue are linked to respective PAs' normally programmed financing mechanisms and not necessarily attributable to project interventions.</li> <li>Taman Negara NP collected RM600,000 from entrance fees, permits and other recreation related charges, a slight increase</li> <li>Endau-Rompin NP collected RM283, 644 in site-based revenue in 2014 (ENRP Business Plan)</li> <li>Royal Belum SP collected RM308,012 from accommodation and permits (PIR 2016).</li> <li>The potential for additional revenue generation for the target sites will be addressed through the preparation of management and business plans</li> <li>The proposed TEEB study at the three sites will be used by the project to build a strong business and social case for investment in safeguarding the protected areas in its continual engagement with the State Governments and other potential donors (PIR 2015).</li> <li>The study will provide substantive inputs to the State Governments in their preparation of annual budgeting and development plans. However, the project needs to be mindful to emphasize the need for reinvestments of these revenue into PA management.</li> <li>Gradual increase in revenues generated indicates the potential of PAs in generating economic benefit, and may also indicate increased demand and interest for visitation at PAs</li> </ul>
<ul style="list-style-type: none"> <li>Indicator 4: Length of park patrolled per year</li> <li>Number of patrolling programmes per year</li> <li>Percentage of the area patrolled per year</li> <li>Number of patrolling staff</li> <li>Number of illegal activity (including encroachment and poaching) cases within PA reported</li> </ul>	<p>Taman Negara: 5 - 10 km per day</p> <p>Taman Negara: 8 - 10 days per month by walking</p> <p>Taman Negara: 10%</p> <p>Taman Negara: 2 cases in 2010</p>	<ul style="list-style-type: none"> <li>The project is finalizing its implementation plan that will detail out the outputs and specific activities to address the indicator. The implementation plan will be presented to the National Steering Committee for endorsement (PIR 2013).</li> </ul>	<p>25% increase</p> <p>50% increase</p> <p>25% increase</p> <p>50% increase</p>	<ul style="list-style-type: none"> <li>Partially achieved / on track</li> </ul>	<ul style="list-style-type: none"> <li>The Department of Wildlife and National Parks (DWNP) has intensified patrolling activities in PAs and surrounding areas by undertaking joint operations with other enforcement agencies such as Army and Volunteers of Malaysian People (RELA)</li> <li>In 2013, DWNP carried out 66 patrols in Taman Negara and 5 joint patrols with army 5.</li> <li>In 2014, in addition to its regular patrols in Taman Negara, DWNP carried out 6 joint patrols with Malaysian Armed Forces under the 1MBEON (1Malaysia Biodiversity Enforcement Operation Network) Programme spearheaded by the governments National Blue Ocean Strategy (NBOS).</li> <li>In 2015, joint patrols under 1MBEON continued with the involvement of the DWNP Peninsular Malaysia together with the Ministry of Defense (MINDEF) through the Malaysian Army (TDM). A total of 12 operations involving 829 enforcement personnel were carried out in the 3 main landscapes: Taman Negara (Pahang, Kelantan, and Terenggan), Endau-Rompin National Park, Johor and Royal Belum State Park, Perak. This represented a doubling of the number of operations and a 30% increase in personnel (PIR 2016)</li> <li>As reported in the PIR (2016) the financial contribution to the 1MBEON programme increased to RM1.47 million compared to RM0.57 million in 2014</li> </ul>

Indicator	Baseline Level	Level in 1st PIR (self-reported) (Based on PIR 2013 for 2012)	End-of-project Target	Rating /Assessment	Justification for Rating
					<ul style="list-style-type: none"> <li>At Royal Belum State Park, NRE, DWNP and Forestry Department conducted 4 joint patrolling programmes.</li> <li>Royal Belum State Park and Endau Rompin National Park have no regular patrolling programmes. The two PA agencies PSPC and JNPC responsible for these two sites do not have dedicated patrolling units (PIR 2014).</li> <li>Funding received by DWNP for this programme in 2014 was MYR570,000. A total of 636 personnel were involved in these patrols: comprising 252 staff and 384 Army personnel.</li> <li>Area covered in Taman Negara NP: 143,300 Ha or 33% of the total park area. A total of 19 poachers were arrested and charged. Encroachment activities in the boundary of the Park were uncovered and halted.</li> <li>A total of 18 Cambodian and Vietnamese poachers were arrested and charged. A further 33 locals were arrested in the course of enforcement operations. In total, 63 signs of poaching (bullet casings, snares, and others) and 120 illegal campsites/encroachment sites were recorded.</li> </ul>
Indicator 5: Tiger population as a flagship species in target PAs namely Taman Negara, Endau-Rompin National Park and Royal Belum State Park	Estimated tiger population for year 2013*: Taman Negara: 18 (No data for Endau-Rompin National Park or Royal Belum State Park) *Estimated tiger population for the three target PAs for year 2013 will be used as baseline and the baseline figures will be indicated in the next Project Implementation Review 2013 2014.	<ul style="list-style-type: none"> <li>Estimated to be the same as the baseline level (PIR 2013)</li> </ul>	50% increase in tiger population	<ul style="list-style-type: none"> <li>At risk</li> </ul>	<ul style="list-style-type: none"> <li>Tiger survey was conducted at the three sites by DWNP in partnership with WWF, WCS and MyCAT. Based on the survey, tiger population is estimated between 0.57 to 0.84 tigers per 100 sq km (PIR 2014). Once completed, the current National Tiger Survey led by DWNP should provide a reliable estimate of the tiger population for Peninsular Malaysia</li> <li>The official figure made public in 2014 is 250 - 340 tigers. This is based on field-based data gathered from seven known tiger ranging areas in Peninsula Malaysia. Estimates are based on camera trap surveys and field observation, mainly by Wildlife Conservation Society, DWNP and WWF Malaysia. Taman Negara, Endau-Rompin and Royal Belum among the seven areas studied. There is a tiger population estimate data for the Endau-Rompin National Park in 2013.</li> <li>During mission activities, stakeholders expressed extreme concern about the effects of continuing poaching activities upon tiger populations, stating that local populations could be extirpated within a matter of years</li> <li>The tiger population estimates recorded no changes in 2015 (PIR 2016). However, population estimates from year to year may not be comparable—there is a need to ensure that population measurements are standardized.</li> <li><b>Other considerations:</b></li> <li>More studies are needed beyond these areas: in order to obtain a reliable estimate for the whole country, it is important that additional forested areas are also studied.</li> <li>It remains difficult to estimate tiger population and compare data from previous years. A definitive comparison with previous estimates quoted in the baseline figure is not feasible as the previous method of data collection and extrapolation is different (PIR 2015)</li> </ul>

## 1. Analysis of Project Objective

65. Data on operational and development budget for the three PA agencies reflect a general increase from baseline levels (Figure 5). Both operational and development budgets peaked in 2014 above the end of project targets and subsequently dropped in 2015 as a result of economic slowdown. Due to the Federal-State institutional arrangements, budgets for DWNP are sourced from Federal funding while budgets for JNPC and PSPC especially operational budgets are sourced from the respective states. As there is a lack of progress in establishing the performance-based system, the rating for this outcome is reported as at risk. In addition, the PA agencies’ budgets are still subject to fluctuations, as the “business-as-usual” scenario persists without any institutional changes in terms of sustainable finance.

**Figure 5. Combined Operating and Development Budget for DWNP, JNPC and PSPC, (USD million, 2010-2015)**

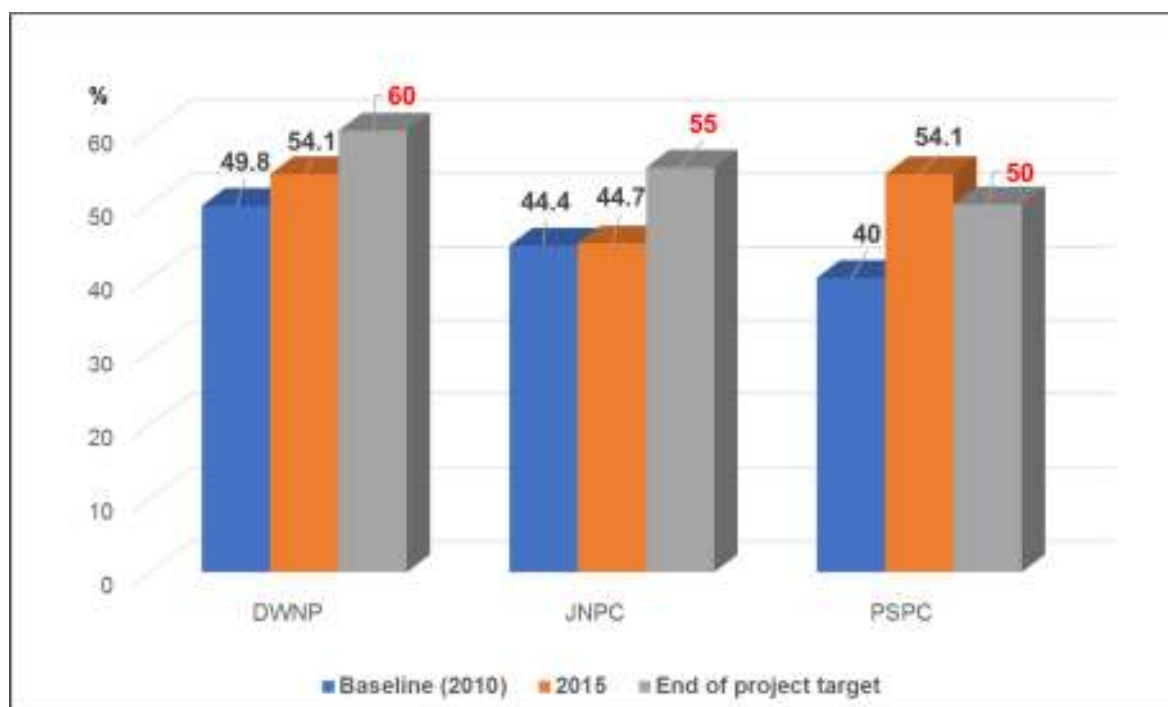


Source: MTR team, based on budget data from DWNP, JNPC and PSPC.

66. The financial sustainability scorecard rating has overall increased with PSPC exceeding the end of project target in 2013 (Figure 6). The project has taken the initiative to involve broad participation including partners in the review of the scorecard. In addition, the project will be due for the fourth scorecard exercise towards the end of the project instead of three as required for full scale projects. The rating for this outcome based on this indicator is recorded as yellow (on track).



**Figure 6. Financial Sustainability Scorecard Ratings by PA Agency**



Source: MTR team, based on ProDoc and Financial Sustainability scorecards for DWNP, JNPC and PSPC.

## 2. Analysis of Outcome 1: National Level Management

67. Outcome 1 aims to develop systemic and institutional capacities to manage and financially support a national PA system. The project scored well in terms of Indicator 1 (National PA Framework - on track) and Indicator 2 (Integrated PA information - achieved). These two indicators provide an important framework and information database for PA management in Malaysia.

68. In particular, the project demonstrated positive adaptive management through these two indicators whereby the National PA Framework process created a platform for PA agencies from different states to converge to develop consensus towards a national PA framework. At the same time, it also provided the opportunity for PA agencies to interact with other stakeholders such as Forestry Department, community groups, NGOs who were also invited as part of the consultation process. The interim Master List was accepted by NRE in 2014. Through the invitation of NRE, the project supported the completion of the Master List which serves an important basis for the finalisation of the National PA Framework.

69. Part of indicator 2 involves developing an integrated PA information system. The project achieved its target by leveraging upon existing institutions and efforts. Interventions under this indicator evolved from the development of a project website to consultations with Forest Research Institute of Malaysia (FRIM) which resulted gaining the support for hosting a PA database within the Clearing House Mechanism’s Biodiversity Database administered by FRIM. The database was then transferred to the National Biodiversity Centre (NBC) and rebranded as the Malaysian Biodiversity Information System (MyBis). Positive outcomes were evident in the form of:

- Strategic links were established between NBC and WWF-Malaysia in sharing knowledge for data verification through the consultant engaged by the project.
- The project capitalized on the National Framework Consultation meetings to introduce MyBis and consult key federal and state agencies on PAs in adopting, integrating data and updating the Master List.
- The project engaged with WWF to update and finalise the PA Master List.
- Sustainability of the outcome is likely, due to the commitment by NRE to maintain the database and continuous support by PA agencies to update the database.

70. Performance monitoring system, financial incentive system based on performance indices, national PA system mainstreamed in the budgeting process for 5-year Malaysia Plan are key indicators under Outcome 1 that have been rated to be at risk. The main reasons are as follows:

- The framework for performance monitoring has yet to be established.
- There is lack of deliberation on the rationale, purpose, definition, scope and impact of performance based financing system during the design and project implementation stage.
- Though the National Conservation Trust Fund (NCTF) has been identified as an avenue for integrating the performance based financing system, the NCTF in its existing form is unable to support the system mainly due to the lack of sustainable source of funds and limited capacity.
- There is significant lack of progress in relation to Output 1.4: ***“Budgetary framework created to increase financial support for PAs, allocated on the basis of performance.”*** Among the targets included here are: (i) compilation of special budget lines to cater to the needs of PA management; (ii) proposal of a budgetary framework for PA funding that is based on performance and needs within the current development financing and planning framework; and (iii) conducting “The Economics of Ecosystems and Biodiversity” (TEEB) study for Malaysia to recognize, capture and demonstrate the total economic value of PAs.
- Adaptive management is needed to overcome the barriers under these indicators. It is important to align the expectations of this project to the existing budget frameworks and explore potential avenues for making a case for PA financing (e.g. through the Blue Ocean Strategy platform, tourism related initiatives such as the tourism tax due to increasing demand for visitation to PAs, Malaysia Mega Biodiversity Hub (MMBH), Malaysia Tourism Quality Assurance (MYTQA) initiative, enhanced capacity to demonstrate the role of PAs in relation to the present Outcome Based budgeting – which requires calculation of Creativity Index under the current national budget process).
- Another potential form of adaptive management for adopting performance monitoring is through the utilization of METT and financial sustainability scorecards by the three PA agencies. Initially, the assessment was undertaken to fulfil the requirements of the UNDP project implementation guidelines. However, realising the benefit of the assessments has attracted interest of the PA agencies to carry on with the METT and financial sustainability scorecards as part of the agencies’ standard operating procedures. At the same time, the adoption of METT has been incorporated in the management plans of the three PA sites which serves as a form of institutionalisation of performance monitoring.

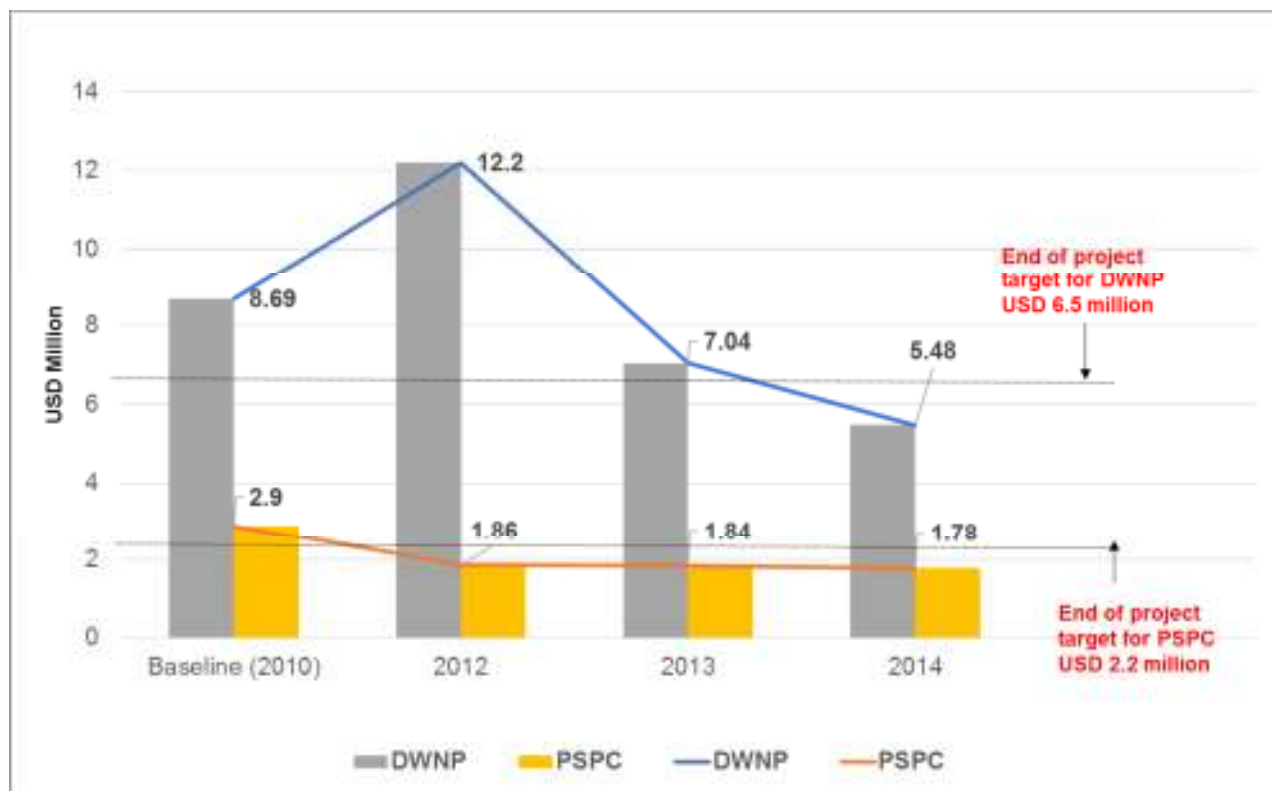
### 3. Analysis of Outcome 2: Sub-National-Level Management

71. Outcome 2 aims at building technical and institutional capacity to manage sub-national PA networks including capacity for effective financial management. Financing gap analysis results indicate



that DWNP and PSPC exceeded the targeted 25% average decrease in financing gap in 2014 (see Figure 7).

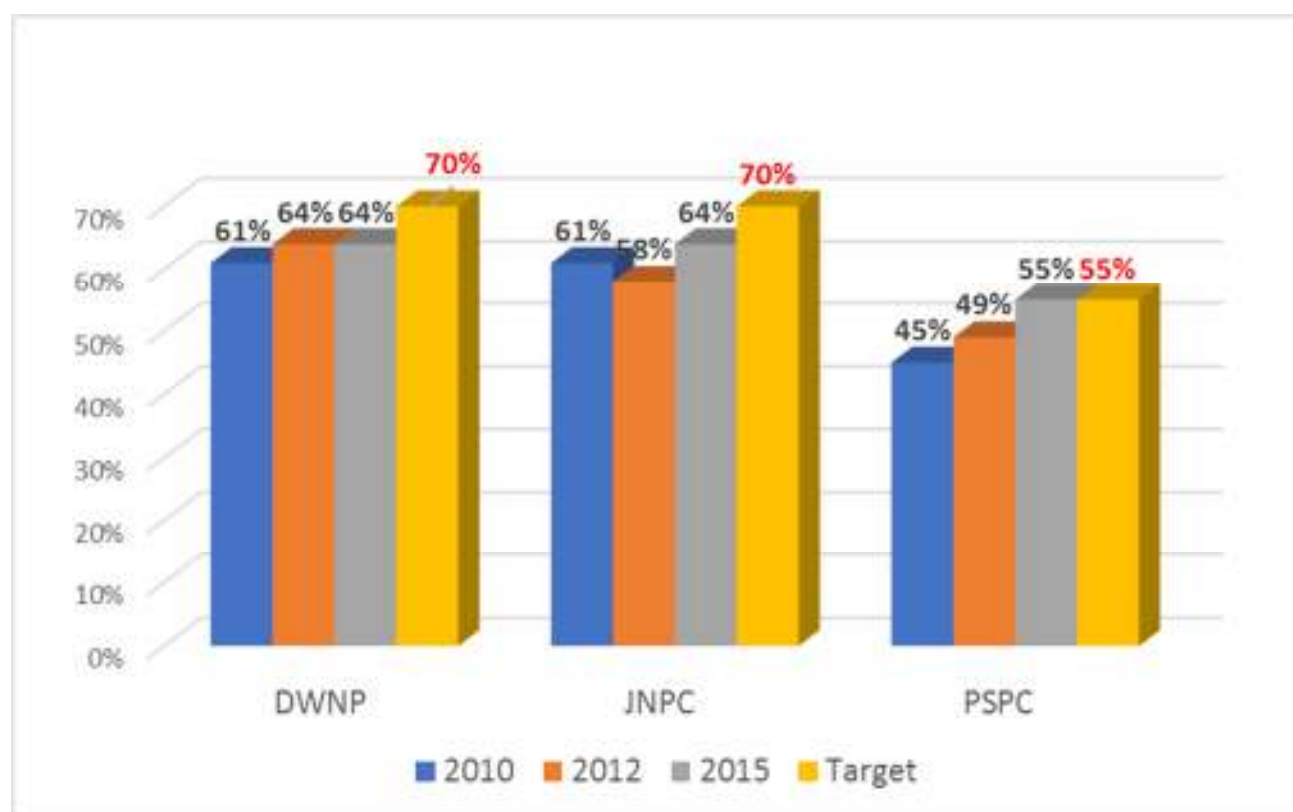
**Figure 7. Estimated Financing Gaps, 2010-2014 (USD million)**



Source: MTR team, based on ProDoc and budget data from DWNP, JNPC and PSPC.

72. A very important indicator for this outcome is indicator No. 2, which relates to development of increased capacity for PAs at the sub-national network level. As presented in the Progress Toward Results analysis (Table 11), capacity scores for DWNP and JNPC were at 63.5% compared to the target of 70%, while PSPC has already reached the end of project target of 55% (PIR 2016). Capacity scorecard results are also presented in Figure 8. JNPC's improved score was mainly due to greater legal capacity for enforcement and increased number of staff. PSPC improvements stemmed in large part from revision of the State Park Enactment to strengthen enforcement and penalties and cooperation between PSPC and other agencies (DWNP, State Forestry Department and the Royal Army Force) for patrolling activities through the 1MBEON cooperation program. One extremely important capacity-building initiative that received support through the project was the decision to transform the Institute of Biodiversity (IBD) under DWNP into a national institute for PA and wildlife management training, providing targeted capacity building and training programmes (e.g., EPAWM course) to all PA practitioners in the country. As part of the transformation strategy, steps are being put in place for the IBD to award certificates recognised by the Sijil Kemahiran Malaysia (Department of Skills Development) towards the end of 2017.

**Figure 8. Capacity Scorecard Results**



Source: MTR team, based on ProDoc and Capacity Development Scorecards for DWNP, JNPC and PSPC.

73. The project has been supporting many other capacity building initiatives as well, including (among others): development of training materials, train the trainers empowerment, equipping GIS training lab at IBD, supplying important reference materials on wildlife and PA management, sending personnel from the three PA focal sites for training locally and internationally (Sarawak, Korea, WII-India, Smithsonian), supporting Orang Asli communities (learning trips and support for development of management plan), and training for METT/tracking tools.

74. Indicator 3 involves assessing the number of PAs successfully meeting national management criteria and accessing performance-based financial transfers from the Federal system. As the progress to develop performance based financial transfers from Federal system is lacking, the rating for this is recorded as risky. Nevertheless, plans are being developed to explore opportunities to develop the system at the department level.

75. In relation to sustainable finance capacity (Indicator 4), the project organized a workshop on Sustainable Financing with Johor state. The sessions focused on revenue diversification. Similar support is envisaged for PSPC (PIR 2016). Management and business plans have been completed and in the process of being adopted. These documents are expected to provide guidance on how PA agencies can improve their financial planning tools and address financing gaps for the three parks (PIR 2016).

#### **4. Analysis of Outcome 3: Site-Level Management**

76. Indicator 1 under Outcome 3 was rated as partially achieved or on track as management and business plans have been finalised. It is in the process of being approved and adopted. Important steps

still need to be taken, to implement and institutionalise the recommendations from the plans. In order to ensure the sustainability of this effort, a standard template describing the key elements of a PA management plan was elaborated at a national stakeholder consultation workshop held in June 2016. The gap analysis and stocktaking exercise provide critical future directions in terms of the legal and policy decisions. PA management authorities (DWNP, JNPC and PSPC) are in the process of undertaking a thorough review of their respective legislation based on the key findings of the gap analysis. The project will provide technical support to the State Government through the engagement of a legal expert (PIR 2016).

77. Indicator 2 involves improved management effectiveness as per METT scores for three target PAs. METT scores estimated in 2014 have increased from baseline level (DWNP – 74, JNPC – 58, PSPC – 53). The outcome of this is rated as partially achieved or on track as the latest METT scores DWNP – 76, JNPC – 61 and PSPC – 70 are close to the end of target scores (DWNP – 82, JNPC – 68, PSPC – 65) (PIR 2015). PSPC has reached beyond the end of target scores.

78. The rating under indicator 3 is recorded as achieved, as the PA agencies of the three parks have demonstrated increase in revenue from the baseline in 2010.

79. Indicator 4 involves monitoring of the length of park patrolled, number of patrolling programmes, percentage of the area patrolled, number of patrolling staff and number of illegal activity cases within PA reported (including encroachment and poaching). The indicator for this is rated as on track or partially achieved due to numerous activities undertaken by the project in collaboration with partners such as the 1MBEON and SMART patrolling

80. For Indicator 5, the end-of-project target indicated a 50% increase in tiger populations in the three PAs. However, results from the most recent surveys (2015) indicate that tiger populations are being maintained at a constant level.

### **C. Project Implementation and Adaptive Management**

#### **1. Management Arrangements**

81. The project is being implemented by the DWNP. The UNDP, as the GEF Implementing Agency, oversees the implementation of the project through an assigned UNDP Country Office Program Manager. In its administration, UNDP is guided by UNDP and GEF guidelines. The NSC is vested with the overall responsibility of providing strategic advice on the implementation of project and ensure delivery of targeted outputs and outcomes.

82. Attendance of meetings by members of the NSC is shown in Table 12. There was a high level of commitment shown by central agencies like EPU and JPA, line ministries such as Ministry of Urban Wellbeing, Housing and Local Government, and Ministry of Tourism and Culture, as well as by representatives from the State governments of Pahang, Johor, Perak and Terengganu. Efforts must be made to further engage other agencies, whose primary missions are not directly related to PAs but which are important for conservation advocacy and financing, to participate actively in NSC meetings. These include such ministries as the Ministry of Finance, Ministry of Plantation Industries and Commodities (MPIC), Ministry of Energy, Green Technology and Water (KeTTHA), and the Ministry of Science, Technology and Innovation (MOSTI).

**Table 12. National Steering Committee Meeting Attendance**

Members of the National Steering Committee	Meetings						
	1 <sup>st</sup>	2 <sup>nd</sup>	3 <sup>rd</sup>	4 <sup>th</sup>	5 <sup>th</sup>	6 <sup>th</sup>	7 <sup>th</sup>
Ministry of Natural Resources and Environment	*	*	*	*	*	*	*
Economic Planning Unit (EPU) of Prime Minister's Department	*	*	*	*	*	*	*
Ministry of Finance (MoF)	*			*			
Ministry of Plantation Industries and Commodities (MPIC)	*						
Ministry of Rural and Regional Development (KKLW)	*						
Ministry of International Trade and Industry (MITI)	*						
Ministry of Energy, Green Technology and Water (KeTTHA)		*	*			*	
Ministry of Tourism and Culture		*	*		*	*	*
Ministry of Urban Wellbeing, Housing and Local Government (MHLG)	*	*	*	*	*	*	*
Ministry of Science, Technology and Innovation (MOSTI)	*	*				*	
Department of Wildlife and National Parks	*	*	*	*	*	*	*
Forestry Department of Peninsular Malaysia	*	*			*	*	*
Department of Orang Asli Development (JAKOA)					*		*
Forest Research Institute Malaysia	*	*					
Public Services Department (JPA)				*	*	*	*
Pahang (Pah), Johor (Joh), Perak (Per), Kelantan (Kel), Terengganu (Ter) State Economic Planning Units		Pah, Per, Ter, Kel, Joh	Kel, Pah, Joh, Per, Ter	Per, Pah, Ter, Joh	Pah, Joh, Kel, Ter	Pah, Ter, Per, Kel, Joh	Pah, Per, Kel, Joh
United Nations Development Programme (UNDP) Malaysia	*	*	*	*	*	*	*
World Wildlife Fund (WWF)	*		*	*	*	*	*
Malaysian Nature Society	*			*		*	*
Malaysian Environmental NGOs (MENGOs)							
Wildlife Conservation Society (WCS)		*	*	*	*	*	*
Jaringan Orang Asli Malaysia							

Notes:

\* = attended

(empty cell) = did not attend or no information available

83. The MTR team recognizes that the implementation of the project is no easy task because of the complexity of PA governance in Malaysia and the multi-level intervention strategies put in place to remove the systemic barriers. Overall, project implementation thus far is satisfactory. However, the project has encountered a number of issues and has undertaken adjustments to overcome them:

- First, during the early stage of the project, the lack of readiness from the implementing agency to provide full support and necessary facilities for the project implementation has caused delay in completing the inception phase within 6 months from the project start date<sup>6</sup>. Administratively, advanced preparation should have been put in place to avoid constraints in project implementation. The issue was resolved with the intervention of UNDP and Economic Planning Unit through close consultations with senior officials in the NRE and DWNP, demonstrating the responsiveness of the managing parties to significant implementation problem. It is also a pragmatic decision to include the National Technical Adviser to attend the monthly management meeting of DWNP. This allows updating on the Project's progress to the higher management of the implementing agency and facilitates some of the decision makings and coordination among different sections in DWNP.
- Second, lengthy processing times for contracting and procurement have caused delays in some project activities. One clear example of this is in the commissioning of the TEEB study, which is significantly behind schedule. Although UNDP and NRE in their annual PIR and APR reporting have acknowledged the delay in launching the study, they were not completely forthcoming in recognizing that this deferment presented a significant risk to accomplishing Outcome 1. Instead of understating this problem, greater candor and objectivity would have ensured a more accurate reporting of project progress, which could have in turn helped to identify appropriate actions needed to address implementation issues to remedy the situation.
- Third, high-level project ownership at the Ministerial and State level was made difficult by the level of turnover among key agencies with the potential impact on project effectiveness. Since project commencement, there have been 2 changes of NRE Secretary General; 1 change in of Deputy Secretary General who is also the Chair of the NSC; 3 changes of NRE minister; 5 changes of focal point for project in NRE and 3 changes of Undersecretary of Biodiversity and Forestry Management Division. In addition, there were also changes in UNDP project coordinators, PSPC General Manager and JNPC Director.

84. Feedback for adaptive management has come from the minutes of PMU and NSC meetings, field missions and workshop sessions as well as from the project's comprehensive documentation (as described in Section III.C.6., "Reporting"). A significant adaptive management step took place when the project scope was expanded to include Sabah and Sarawak in addition to Peninsular Malaysia. The ProDoc had only excluded these areas due to the administrative structure, whereby the implementing partner, DWNP does not have jurisdiction over Sabah and Sarawak. However, it was widely discussed during the Inception phase that continuous exclusion of these two regions from the project will defeat the long-term objective bringing the management of PAs and wildlife under a single framework.<sup>7</sup> This issue was reviewed thoroughly with key stakeholders, and the NSC, implementing partner and UNDP consented to amend the Project document accordingly.

## **2. Work Planning**

### **Project start-up**

85. The project officially started in June 2012 and the first NSC meeting was held on 19 September 2012. The project team was established in January 2013 with the appointment of the National Technical Advisor and Communications Officer, followed by the Project Executive in July the same year.

86. Based on the GEF-specific project management requirements and ProDoc, where possible, a Project Inception Workshop should be held within 3 months of project signature (August 2012). The

<sup>6</sup> Page 34 of 2013 PIR Final Report.

<sup>7</sup> See PIR 2014 Final Report.

inception phase was delayed and started from March to September 2013. The inception phase included a series of stakeholder consultations through meetings, workshops and training sessions. A formal stakeholder validation workshop was held from 27 – 28 June 2013. The inception phase was supported by three resource persons, including a Project Planning Specialist, a Finance Specialist and a Protected Area Specialist.

87. The project initially experienced a six-month start-up delay but eventually progressed smoothly with the appointment of key personnels of the project team in January 2013. The PMU started its functions in June 2013<sup>8</sup> with the first PMU meeting on 6 August 2013.

### **Project Implementation Plan and Annual Work Plans**

88. The Project Implementation Plan (PIP), Annual Work Plan (AWP) 2014, budget review for 2013 and estimated budget for 2014 were incorporated into the Project Inception Report, demonstrating alignment to UNDP/GEF policies in terms of inception phase reporting. The project has submitted up-to-date AWP consistently throughout the project from 2013 to 2017.

89. Work plan activities are captured in AWP that are submitted on an annual basis. AWP contains annual targets, outputs, activities and budgets. The NSC reviews, approves and endorses the annual work plan and budget. The AWP are then subject to the final approval by EPU and UNDP. In general, the reporting and work planning procedures have been consistent with UNDP implementation guidelines and up to date. The AWP, Project Implementation Plan, APRs, PIRs and various National Steering Committee (NSC) meeting minutes were reviewed to assess the work planning of the project. The original PIP and assessment of the work plans by activities is attached in Annex E.<sup>9</sup> Some key findings included:

- Three categories of progress status were identified in relation to the project outputs. Those that were on track (i.e. major progress has been made with slight or moderate adjustment of time), activities that have been delayed but initial steps have been put in place to achieve the targets and those that are lacking progress.
- Outputs that were lacking in progress included:
  - Output 1.4: Budgetary framework created to increase financial support for PAs, allocated on the basis of performance
  - Output 1.5: Structures and processes created for NRE to provide performance-based operational and capital grants to PAs on the basis of performance against national indices, and other relevant criteria
  - Output 1.6: Capacity of key Federal (EPU and MoF) and State agencies is strengthened to ensure sustainable financing of PA management is addressed in the annual budget
- Outputs that were delayed but initial steps have been put in place included:
  - Output 2.1: PA network financing plans developed, incorporating strategies for financing source diversification for PA networks
  - Output 2.2: Policies and guidelines for PA financing diversification and retention institutionalized in the targeted PA agencies

<sup>8</sup> National Steering Committee Meeting Minutes, 9 September

<sup>9</sup> In addition to Annexes A through E, already referenced herein, a set of other annexes is also included with this report. These are: Annex F: consultant TORs; Annex G: MTR ratings scales; Annex H: MTR mission itinerary; Annex I: consultants' signed Code of Conduct forms; and Annex J: signed MTR report final clearance form. As already mentioned, other supporting materials, including an Audit Trail and a Recommendations and Management Response template, have been submitted as separate documents.

90. Some of the challenges and factors contributing to the delays or lack of progress include:

- Various key initiatives of the project such as performance standards, sustainable finance in relation to management and business plans are beyond the existing practices of the PAs in relation to policy-making, institutional development, governance and management. Though these concepts are not entirely new (e.g. government agencies are familiar with key performance indicators), extensive conditioning, discussions and capacity building are needed to enable these initiatives to be easily adopted and implemented by the respective agencies.
- Project interventions and consultations are needed at three levels, i.e. national, state and park levels. At the same time, it also involves consultations across departments/agencies/Ministries (e.g. DWNP, Forestry Department, Ministry of Natural Resources and Environment, State Governments, Ministry of Finance, Economic Planning Unit, Ministry of Tourism and Culture, etc).
- Purchase of equipment (e.g., computers) and procurement of technical services have been reported to be slow.
- As part of the stakeholder validation workshop during the inception phase, a recommendation was made to establish a sustainable financing core team comprising economists and planners.<sup>10</sup> Though the project engaged several experts to develop reports related to conservation finance and business plans, there is a need for technical support for project implementation and/or a project executant focussing on sustainable financing project priorities. Specific examples include providing the necessary inputs for the development of sustainable financing related TORs, reviewing technical reports, designing the scope of technical workshops and linking sustainable financing needs to PA management, institutional and governance frameworks (Inception Report, 2013).
- Policy direction and decisions from relevant government agencies for certain project initiatives (e.g. National Conservation Trust Fund) was needed before implementing certain project activities. In some instances, this resulted additional time required for the implementation of follow up actions (PIR 2013).
- Certain outcomes such as outputs involving performance monitoring system, and financing plans for resource diversification for PA networks did not gain much traction due to delay in planning and efforts focussed on other outcomes (PIR 2014).

### **3. Finance and Co-Finance**

91. Various project reports were referred to in gathering data on the financial management of the project. These included the ProDoc, combined delivery reports (2012-2016), co-financing reports and the annual progress reports. The information in Tables 13-15 provides a summary of the financial status of the project. The total project cost at CEO endorsement was USD19 million with GEF funding of USD5.6 million in 2012 and government contribution of USD13.3 million. Up to December 2016, the project expenditure was USD2,400,820, reflecting a 43% expenditure of the total GEF allocation.

92. The co-financing amount reflects government contribution (both federal and state) through the activities of DWNP, JNPC and PSPC. It has exceeded the target of USD13.3 million. The analysis indicates that up to December 2016, co-financing stood at around USD19 million (Table 14), reflecting an approximate 42% increase of the original amount. The increase in co-financing could be attributed to the inclusion of PSPC in the co-financing budget as allocation from PSPC was not initially included. In addition, the increase in co-financing amounts were also due to development budgets allocated to the

<sup>10</sup> Project Inception Report, page 115

three PAs. The increased co-financing amounts by over 42% is a positive indication of the strong support from the Government towards ensuring the success of the project.

93. The project has experienced gains in foreign currency exchange due to the weakening Ringgit over 2012-2017. The exchange rate in June 2012 was USD1 to RM3.2 and as of June 2017, the exchange rate was around USD1 to RM4.2.

**Table 13. Project Financing and Co-Financing**

<b>Project Financing</b>	<b>At CEO endorsement (US\$)</b>	<b>At Midterm Review (US\$)</b>
GEF financing:	5,600,000	2,400,820
UNDP contribution:	100,000	(no data)
Government:	13,300,000	19,049,784
Other partners:	-	
Total co-financing (2+3+4)	13,400,000	
PROJECT TOTAL COSTS	19,000,000	

Source: Project document, combined delivery reports

**Table 14. Co-Financing Sources, Projections, and Actual Contributions**

<b>Source of co-financing</b>	<b>Name of co-financer</b>	<b>Type of co-financing</b>	<b>Amount confirmed at CEO endorsement (USD)</b>	<b>Actual amount contributed at midterm review (US\$)</b>	<b>Actual % of expected amount</b>
Government	DWNP	Grant and in kind	9,700,000	6,824,382	70.3
	JNPC	Grant and in kind	3,600,000	6,092,391	169.2
	PSPC	Grant and in kind	0	6,133,011	NA
Partner agency	UNDP		100,000	(no data)	
<b>TOTAL</b>			<b>13,400,000</b>	<b>19,049,784</b>	<b>142</b>

Source: Co-finance reports: DWNP:2013-2016, JNPC: 2013-2016, PSPC: 2012-2016

**Table 15. Project Annual Budget**

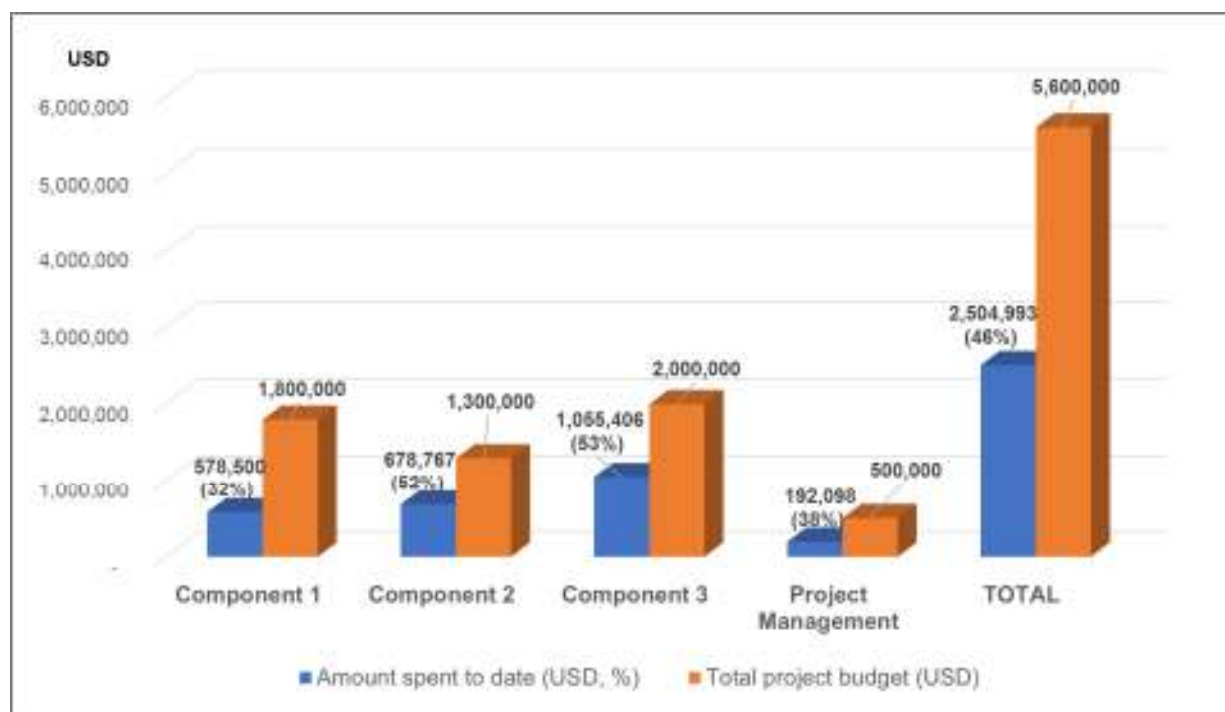
<b>Year</b>	<b>Planned Budget</b>	<b>Revised Budget</b>	<b>Actual</b>	<b>% Annual expenditure</b>	<b>% Cumulative expenditure</b>
2012			7706		0.1
2013	244,100		224,261	92	4
2014	921,773	447,532	384,878	86	11
2015	1,186,500	NA	976,130	82	28
2016	1,213,866	1,000,000	807,845	81	43
<b>TOTAL</b>			<b>2,400,820</b>		

Source: Combined delivery reports and annual work plans

94. Figure 9 reflects the percentage of project fund utilization by component as of June 2017. Overall, about 45% of the total fund allocation has been spent. Expenditures on Components 2 and 3 are approximately the same (52% and 53%) as compared to a lower rate of fund utilization for Component 1 (32%). This is consistent with the observation identified under work planning, where more focus has been on Outcomes 2 and 3.



**Figure 9. Project Utilization of Funds, by Project Component, 2012-2017 (June)**



Source: MTR team, based on Combined Delivery Reports 2012 to 2017.

### **Financial Procedures, Monitoring and Auditing**

95. The project is executed following the Guidelines and Procedures for the National Implementation Modality (NIM). In terms of financial rules and regulations, the following applies:

- For goods and services procurement: Government Procedure
- For all types of consultancy: UNDP procedure

96. The following audits have been undertaken thus far. These are the:

- Audit by the National Audit Department of Malaysia on 22 April 2015: The scope of the audit assessed the financial performance of the project. In particular, it covered expenditure disbursements of the Combined Delivery Reports (CDR) and assessed various documents such as the Statement of Assets, Statement of Cash Positions and undertook an overall assessment of the operational and internal control systems. The auditor general's report concluded that in general the disbursements of the project have been made in accordance with the Financial Rules, Regulations and Practices. Some issues raised included late payments and approval of claim forms that did not have the approval signature of Head of Departments. The report called for payments to be made within reasonable time by DWNP and UNDP to enhance the organisation internal control. In addition, the report also recommended that DWNP as well as UNDP Country Office monitor that only certified documents are processed for payments.
- UNDP Micro Assessment Exercise from 15-16 January 2016 and the Harmonized Approach to Cash Transfer (HACT) Assurance Activities on 27 June 2016: The summary of management control findings indicated that the project management and finance staff at the

IP are not familiar with standard UN financial management rules and financial reporting procedures. The audit recommended that the organization takes actions to ensure it is aware of and can comply with, the standard UN financial management rules and financial planning procedures by obtaining relevant documents and guidance from the UN Country office, introducing new financial procedures and controls, documenting new procedures and controls in a procedures manual and conducting internal training of the organisation’s meeting. The risks identified ranged from low to medium.

- Implementation and Monitoring Stage Quality Assurance Report on 28 December 2016: The overall project rating for this assessment was highly satisfactory. A questionnaire containing 23 questions which covered questions on Strategic, Relevant, Social and Environmental Standards, Management and Monitoring and Sustainability and National Ownership.

#### **4. Project-Level Monitoring and Evaluation Systems**

97. The ProDoc presents a detailed Monitoring and Evaluation (M&E) implementation plan (represented here in schematic form in Figure 10) with a total indicative cost of USD374,000 allocated for its execution. This amount is appropriate for a full-scale GEF project such as the PA Financing project. The Inception mission made changes to some of the outputs to ensure smooth day-to-day operation of the project, build project ownership and place the M&E system on solid footing. There is also quarterly monitoring of progress using the UNDP Enhanced Results Based Management Platform as well as annual reporting through the APRs and PIRs. The NSC uses APRs and PIRs in its meetings for performance improvement, accountability and learning to ensure management issues are picked up in time for possible adaptive management actions to be taken. In addition, the Project also runs periodic monitoring through site visits which are followed up with proper reporting.

98. Another M&E tool which has proven to be very effective for the PA Financing Project has been the use of the GEF tracking tools. Use of the Management Effectiveness Tracking Tool (METT) has been embraced as a useful tool by DWNP, JNPC in Johor, and PSPC in Perak. While GEF requires METT at project start, midterm, and conclusion, these implementation partners have voluntarily decided to conduct METT more frequently—every two years, bringing a total of four scorecards, instead of three as required for full scale GEF-financed projects. A final review is expected in December 2018 at the end of the project. The completion of the METT has been done through a consultative process with strong stakeholder participation. This process has been adopted as “standard operating procedure” by these partners. This is a good example of an adaptive management approach, which also points to the opportunity for scaling up the practice, and applying it beyond the confines of the project. The financial sustainability scorecard ratings have shown overall increases, with PSPC already exceeding the end-of-project target in 2013 (see Figure 6).

#### **5. Stakeholder Engagement**

99. In general, there has been good engagement with the project from a wide spectrum of stakeholders. A range of outreach activities, including seminars, conferences, and studies, as well as state- and site-level meetings, have enabled formal and informal interactions between national and sub-national government agencies and stakeholders. At the initial stage, the project partnered with NGOs and civil society groups such as WWF-Malaysia to design and organize the First National Protected Area Managers’ Conference. This meeting also saw the sharing of experience from NGOs in Sabah such as the Borneo Rhino Alliance and HUTAN (Kinabatangan Orangutan Conservation Project).

**Figure 10. Schematic for Monitoring and Evaluation Activity for the PA Financing Project**



Source: MTR team (based on ProDoc)

100. More recently, the preparation of the Management and Business Plans for the three focal sites has created more opportunities to engage a wide range of important stakeholders including those from the NGOs, academia, and local community-based organizations. The process to develop the plans has been highly consultative, with the view to ensuring strong ownership of the final output and assurance of its usefulness and immediate application. The well-designed capacity building programmes to enhance community engagement for effective park management have also broadened the stakeholder groups involved in this project. Moving forward, greater efforts should be made to foster engagement by the Project with local governments at district levels—districts have authority for land use of areas surrounding PAs, thus their involvement is important for sustainable management of PAs.

101. The strategy of latching on to ‘low hanging fruits’ or aligning with government initiatives such as IBD, MyBis, and SMART (Spatial Monitoring and Reporting Tools) patrolling, has mobilized cooperation

within agencies and also among key stakeholders such as Wildlife Conservation Society (WCS). This has been an important adaptive management approach that has encouraged more intensive stakeholder engagement, due to the fact that stakeholders regard the Project as part of their operations in strengthening PA management, and not as an isolated activity.

## **6. Reporting**

102. The project has consistently produced a permanent record of all its activities, through the regular production of documents as required under UNDP/GEF guidelines. So far the project has prepared three Annual Progress Reports (for 2014, 2015, and 2016), four Mid-Year Progress Reports (2013, 2014, 2015, and 2016), and five PIRs (2013, 2014, 2015, and 2016). Other reports produced include Annual Work Plans, Management Effectiveness Tracking Tools (METT), Financial Sustainability and Capacity Development Scorecards, and meeting minutes. A “document map” providing an overview of this body of work, is presented in Figure 12.

103. These reports are regularly tabled at the semi-annual NSC meetings, wherein project progress during the preceding six months is discussed. The meetings also include a fixed agenda on monitoring and evaluation which serves as a platform to ensure that management changes proposed by the PMU are shared with the project decision-makers. This platform also ensures that lessons derived from the adaptive management process, if any, are documented, shared with and internalized by key partners, and incorporated into project implementation plans.

## **7. Communications**

104. Two aspects of project communications are the subject of the current review: internal communications and external communications. Internal communications refers to communications between personnel and agencies directly involved with the management and implementation of the project. External communications refers to those communications activities targeting civil society, communities, and the general public, who may have some interaction with project activities, but who are not directly involved in the project. This may include outreach, public relations, awareness raising and education, and similar communications activities.

### **Internal Communications**

105. Progress to date indicates that in general, the PMU has maintained good lines of communication with agencies and other entities directly involved in project implementation and management. For internal communications, particularly at the Inception stage, efforts were focused towards clarifying and simplifying the project's objective, outcomes and outputs in practical and simple language for the PA management authorities at Taman Negara National Park, Royal Belum State Park and Endau-Rompin National Park. Partly because of communication barriers, the Project had to wait until 2015 before a full-fledged collaborative relationship with stakeholders at the Perak and Johor state level could be effectively fostered and established. Within the Implementing Agency, there is also a need for better communication and coordination between projects. As an example, in order to optimize efficiency and ensure greater impact on the ground, the PA Financing project is managed by the Protected Area Division, while the IC-CFS project is managed by the Conservation Division of DWNP. Given the fact that there are close relationship in the objectives of the two projects, coordination and communications between them need to be continuously enhanced.

106. To ensure regular and effective communication with the key stakeholders, the PMU could also share their Annual Work Plan widely as soon as it is available. This will optimize participation of key stakeholders in key activities such as seminar and conferences organized by the Project.

---

### **External Communications**

107. The external project communications program has been quite robust, with a number of well-designed and well-executed initiatives having been conducted. The creation of the visual identity for the Project; the launch of the PA Financing project website and social media presence on Facebook; and creation of content for the YouTube channel have contributed to the dissemination and sharing of knowledge about the project, and about biodiversity conservation generally in Peninsular Malaysia, with wider audiences. The expansion of educational aspects of the project has been supported through such activities such as preparation of commemorative video clips of Taman Negara, and the production of the Proceedings from the 1st National Protected Area Managers’ Conference. Also, two knowledge products, namely the trail maps for each of Taman Negara’s entrances, and the richly-illustrated Visitor’s Guide to Taman Negara, have recently been successfully launched. All these activities have contributed to solidifying the external communications program.

#### **D. Sustainability**

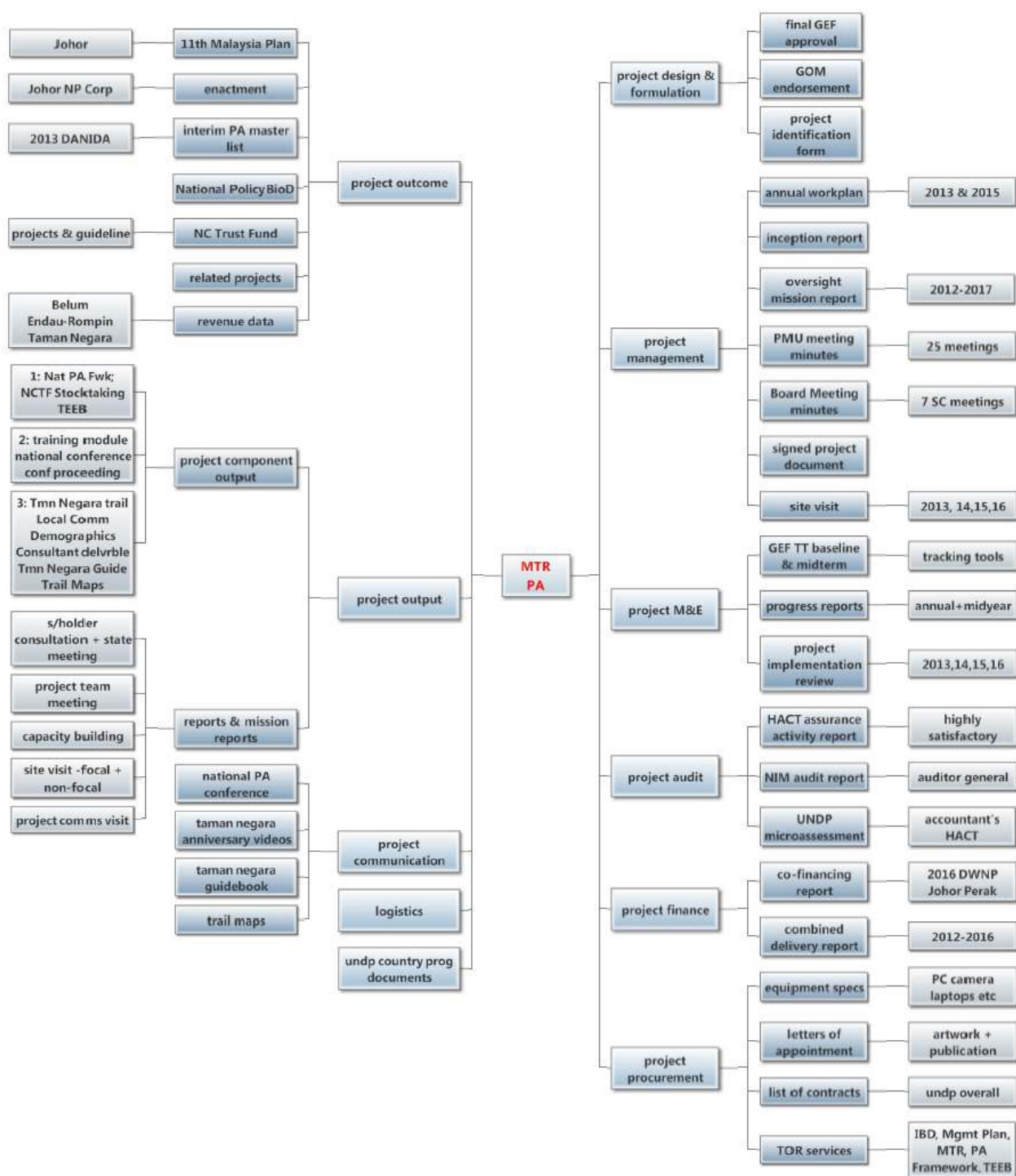
108. Of necessity, any discussion of sustainability must consider the risks which form barriers to achieving the intended project result, and which could thus prevent the benefits of the project from being sustained in the future. For the PA financing project, risks which could affect sustainability can be grouped into the following categories: (i) financial risks; (ii) socio-economic risks; (iii) institutional and governance risks; and (iv) ecological and environmental risks. This section discusses these various risks, attempting to identify those which pose the greatest threat.

#### **Financial Risks**

109. Establishing a sustainable, performance-based financing structure in the context of PAs in Malaysia means either convincing the Federal government to allocate a substantial budget for PA, or for the PAs to generate sufficient revenue to support an adequate level of management, infrastructure maintenance, law enforcement, and development. At the same time, commitment from State Governments is necessary to demonstrate that they qualify to receive such support. The MTR team found the following risks which may lead to financial resources not being available once the PA Financing project ends:

- Efforts on sustainable finance continue to be ad hoc unless a transformational change happens at the policy and structural levels. The framework for increasing national-level budget support for PAs has not progressed significantly. For instance, there are a lack of initiatives to enhance the capacity of key federal agencies to address sustainable financing of PAs in the annual budget. Strong mandate for PA conservation and sustainable financing through a policy statement is urgently needed;
- Funding has not yet been tied to a performance-based financing structure. A uniform standard and performance assessment process or performance measurement indices have not been clearly defined.
- Diversification of funding sources is needed to stabilize the flow of funds that are earmarked for PAs. In addition, safeguards are needed to ensure any increased investment earmarked for improved PA management, is in fact strongly correlated with strengthening biodiversity conservation and addressing conservation priorities. Of major concern, the NCTF is not fully operationalized. There is a need to identify sustainable sources for continued funding of the Trust Fund.

Figure 12. Document Map



- While business plans for the three parks have been developed through the project, they are not getting the attention that is needed in order to create support for a sustainable financing structure for the PAs. Similarly, an assessment of financing options was carried out, but this has not been reviewed yet. In general, interest in the business plans is low—park managers do not regard themselves as fund-raisers.

### **Socio-Economic Risks**

110. Social or political risks may jeopardize sustainability of project outcomes. Project actions to-date have been adversely affected by the following factors, which if not handled well, may continue to adversely affect the sustainability of key project outcomes in the future:

- Escalating conflicts between conservation and development in state planning (largely as a result of the economic slowdown) pose greater challenges for effective PA management, and for managing the spatial connections between protected areas and their surroundings;
- Co-management agreements that acknowledge the role of local communities to ensure that they receive benefits from their proximity to the PA are yet to be sufficiently explored. The gender component is also insufficiently addressed in the planning and implementation of conservation interventions; and
- There is a lack of appreciation by PA managers on the importance of effective business planning, and the importance of linking up financial strategies to PAs management plans.

### **Institutional and Governance Risks**

111. PAs must be institutionalized and appropriately positioned in the institutional landscape in such a way that they can conserve biodiversity even when the political context in Malaysia changes. The legal framework, policies, and governance d processes must support the sustenance of the PA Financing project benefits:

- The proposed National Framework of Protected Areas includes several categories of PA which are managed through ‘other effective means’— while this structure encourages inclusiveness, at the same time, it may be problematic as it makes the structure of the framework more complex and opens up the possibility that other categories of land management are included on the list, even if they do not further the objective of protecting biodiversity;
- Within the life of the project so far, there has been a high level of turnover among personnel of key agencies--this has the potential to adversely affect project effectiveness (e.g., 2 changes of NRE Secretary General during project, 3 changes of minister, 5 changes of focal point for project in NRE, 3 changes of Undersecretary of BD-Forestry Management Division, UNDP project coordinators, PSPC General Manager, JNPC director;
- Long processing time for contracting and procurement has caused delays in some project activities;
- There is no legal basis and support for the implementation and monitoring of the management and business plans; and
- The degree of commitment from high-level Federal and State government officials, especially on financial support for PAs, is not attracting sufficient attention; such commitment is critical for the effective management of PAs in Malaysia.

112. It is apparent that increases in size, enforcement effort, and management capacity will make PAs more resilient.

---



### **Ecological and Environmental Risks**

113. The MTR team surveyed the environmental risks that may jeopardize sustainability of beneficial project outcomes:

- Damaging, incompatible land uses and development adjacent to PAs present an environmental risk to the project
- Despite ongoing efforts and progress in enforcement, poaching continues and threatens the survival of the tiger population in Peninsular Malaysia. Loss of wildlife through poaching and habitat destruction, especially of such iconic species as tiger, poses an extreme threat which requires an immediate and strong response. Such losses are not only inherently devastating and irreparable to the species concerned, they may also shrink the motivation for pursuing biodiversity conservation efforts overall.

## **IV. LESSONS LEARNED, RECOMMENDATIONS, AND CONCLUSION**

### **A. Lessons Learned**

114. Through a careful review of the progress made thus far under the PA Financing Project, numerous useful lessons can be gleaned. A few of the most significant lessons learned are briefly presented here.

- ***Actions aimed at improving relations with the local community can yield positive results.*** In the case of the PA Financing project, several initiatives along these lines were undertaken. Training and capacity building of PA personnel (especially mid-level employees) for improved engagement with local communities (including Orang Asli and others) initiated a significant mindset change and positive impacts for PA management: greater understanding of community needs and expectations resulted in improved relationships, which in turn paved the way for greater cooperation. At the same time, Orang Asli community members were afforded the opportunity to visit sites where initiatives with other indigenous communities had been successfully implemented (e.g., in Sabah, Pahang, Penang), which “opened their eyes” to new possibilities, improved their understanding, and made them aware of what might be accomplished in collaboration with PA managers in their own area.
  - ***Informal opportunities for professionals to meet and network are a powerful tool for enhancing information exchange and cooperation.*** The project supported a wide range of activities and events which provided opportunities for PA managers and personnel to come together, to meet and discuss their experiences and ideas about PA management issues, and to seek possible solutions. These activities and events included various training programs, the National Protected Area Managers’ Conferences and World Rangers’ Day celebrations (among others). Continuation of such activities is important especially at times when PA management budgets are being reduced.
  - ***Implementing the elements of project activities in their proper sequence is key to improving efficiency and strengthening results.*** One of the important tasks of the project is the preparation of PA management plans and business plans. However, it was not fully recognized that business plans can only be developed after the management plans have been prepared and adopted, and the preparation period for the management plans and business plans for this project overlapped closely, rather than being sequential. It makes little sense to plan a budget for PA activities until there is a concrete understanding of what those activities will be, so as to correctly determine requirements for appropriate staffing, supplies and equipment, and
-



sourcing of funds. Therefore, perhaps the preparation of business plans for the PAs should have waited until the management plans were completed and adopted.

- **Leveraging opportunities for collaboration can help to achieve greater impact.** For the PA Financing Project, this included the establishment of linkages with such activities and programs as MyBis, 1MBEON, SMART patrolling, and transformation of the IBD (among others).
- **Inviting broader stakeholder participation can yield unexpected and increased benefits.** For the project, this was especially exemplified in the approach taken for the preparation of the METT tracking tools. For the PA Financing Project, preparation of the METT scorecards involved a collaborative effort among a range of different partners. This provided a platform for deeper discussions and partnership-building between PA agencies and other key stakeholders. At the same time, it fostered a wider sense of ownership, acceptance, and uptake of METT as a robust mechanism for measuring management effectiveness in the PAs, than might have otherwise been achieved without such broad participation.

## B. Recommendations

115. This section presents a series of recommendations that have emerged as a logical result of the analytical work conducted during this MTR. The identification of weaknesses or barriers occurring during implementation naturally leads to recommendations for measures to address those deficiencies. Similarly, the identification of actions where the project has performed strongly, leads to recommendations for continuing and broadening these actions. Because these recommendations come at project mid-term, this information provides a unique opportunity: it can be used as part of an adaptive management “feedback loop,” to guide mid-course adjustments, which can ultimately strengthen the project, resulting in a higher probability that the overarching project goal and objective will be achieved.

116. The recommendations which have evolved out of the MTR process, and which are presented in this report, are grouped into two categories: **corrective**, and **augmentative**. The corrective recommendations are those which are meant to provide a means for strengthening or putting back on-track those aspects of the project which have shown deficiencies, or which have met persistent obstacles that have hampered successful implementation. The augmentative recommendations are those which are intended to expand upon, strengthen, or replicate project actions which have shown relative success thus far in achieving project results (or leading in that direction).

117. Also, as part of the analysis, a long-list of more than 20 recommendations was prepared, and these were ranked as either high, medium, or low priority. The final short-list, which presented here, contains 13 recommendations, and only includes those considered to be of high or medium priority.

118. The 13 recommendations have been enumerated in Table 2 of the Executive Summary, with an indication of their level of priority, the general topical category into which they fall, identification of whether they are corrective or augmentative in nature, and an indication of who the primary responsible parties or units will be for coordinating their implementation. The remainder of this section is devoted to providing more detailed descriptions of the recommendations,<sup>11</sup> in which the rationale, objective, and suggested implementation for each recommendation are explained.

### 1. High-Priority Recommendations

119. The project has built a strong platform bringing different PA agencies and stakeholders together, and has initiated some key enabling interventions which position the project well to contribute towards the goal of **ensuring that protected areas in Malaysia are underpinned by adequate financial and technical resources, within an overall system that demonstrates representativeness and nation-**

<sup>11</sup> In Table 2, a number has been assigned to each recommendation. These numbers correspond to those used to identify the more detailed descriptions which appear in this section.

***wide coherence, safeguarding globally significant biodiversity and playing an essential role in the Nation’s sustainable development.***

120. A transformational change is needed to move away from the current state of a “business as usual” scenario in PA management, and towards a transformed state wherein PAs are effectively managed, with adequate financial and technical resources, so that they can optimally contribute to the Nation’s sustainable development. The MTR team provides the following high-priority recommendations and strategies, many of which emphasize the core themes of institutionalizing the efforts where possible, and strengthening collaboration and partnerships, to achieve the project goal.

**Recommendation No. 1: Implement Key Actions to Achieve Performance-Based Sustainable Financing Standards**

121. Currently many PAs are not well-funded and are not able to contribute effectively to the country’s sustainable development efforts. It is recommended that two key actions are put into effect to support the implementation of the project objective—namely, to establish a performance-based financing structure to support effective PA systems management.

122. Key Action 1: Ensure budget considerations for PAs are included under the Malaysia Plan, every 5 years. This aims to translate the country’s aspirations towards green growth into strong financial commitments to PAs. The initiative would go beyond a traditional sectoral approach of budget requests and would be implemented through a collaboration between NRE and leadership from the EPU, Ministry of Finance, and key state governments. Such an initiative would help to ensure that the country’s commitments related to PAs under the Eleventh Malaysia Plan and Aichi Targets are effectively realised.

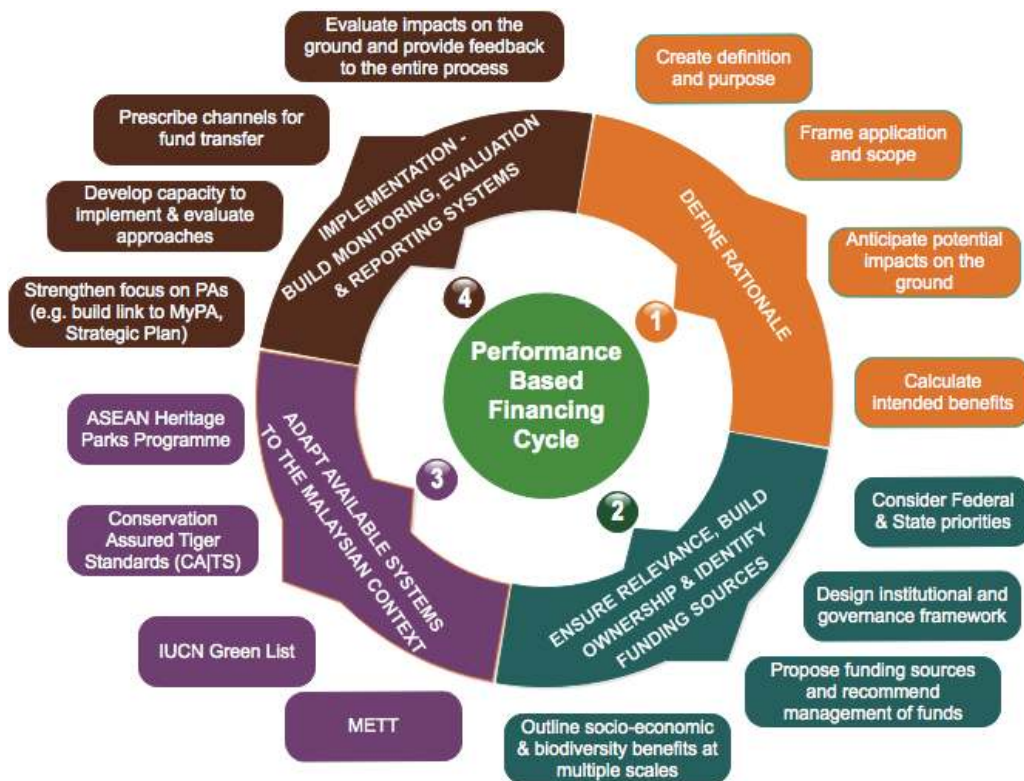
123. Key Action 2: Revisit the fundamental issues of performance based financing. It is recommended that the project undertakes a thorough review of: (i) the rationale for adopting a performance-based approach to financing; (ii) its relevance, ownership, and viable funding sources; (iii) at which level performance-based approach can be implemented, and how it relates to the existing framework of outcome based financing, (iv) mechanisms to measure, verify, and certify performance; (v) how to build a system that can ensure effective implementation, evaluation and reporting; and (vi) how standards for performance based financing can be institutionalised<sup>12</sup> The PMU would be the lead organisation to facilitate the review involving key partners including Federal and State EPU, MoF, Park Agencies and NGOs. Figure 13 provides a suggested framework to guide the discussions, and Figure 14 illustrates the various levels and entry-points where a performance-based approach can be applied.

---

<sup>12</sup> The National Conservation Trust Fund has been identified as a possible avenue for applying a performance-based approach for sustainable financing. There may be other specific options for testing this approach, while simultaneously building the national system.

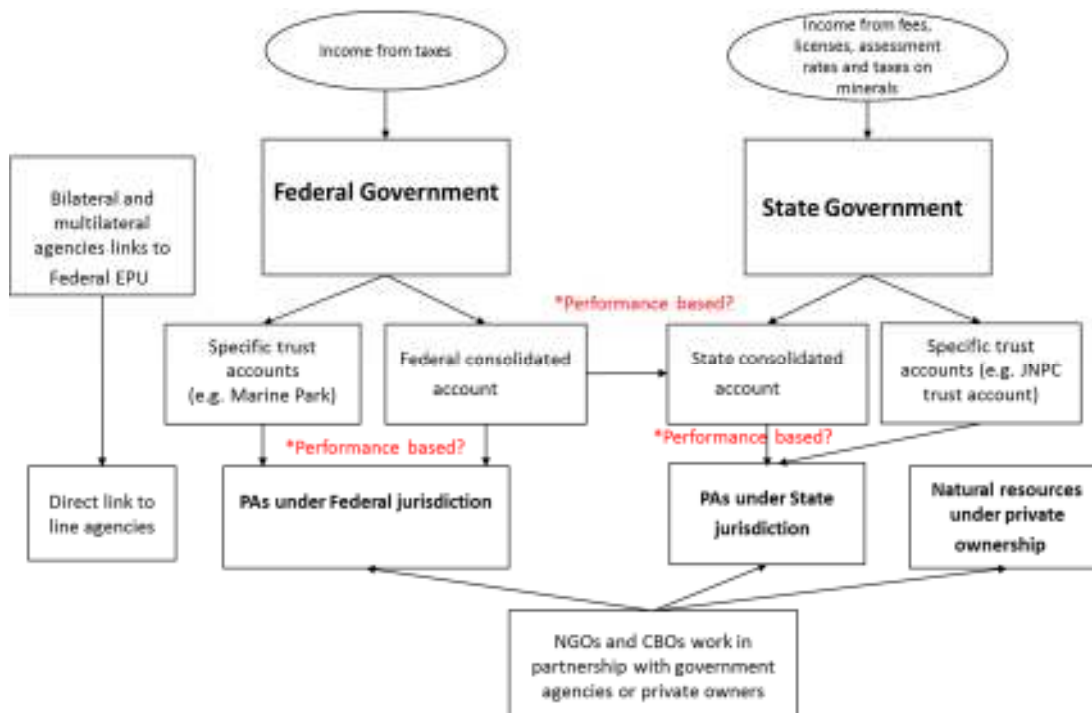
---

**Figure 13. Schematic for a Performance-Based Financing System**



Source: MTR Team

**Figure 14. Funding Flows to Support PA Management in Malaysia**



Source: Adapted by MTR team from PA Financing Project Document, extracted from EPU DANIDA Project. “Designing Malaysia’s Conservation Trust Fund: Issues and Options.”

124. Figure 15 presents concepts for the essential elements of a performance based financing system. As shown in the diagram, the **rationale** is underpinned by the country’s aspiration to transform PAs that are not effectively managed (‘paper parks’) into effectively management parks that are able to contribute to the country’s sustainable development. Such aspirations are consistent with efforts for the country to realise its commitments towards the SDGs and CBD. **Relevance and ownership** are closely linked to the aspirations of the 11<sup>th</sup> Malaysia Plan which seeks to ensure ‘*improved conservation of terrestrial and inland water, as well as coastal and marine areas, including its ecosystems*’ (11<sup>th</sup> Malaysia Plan, pages 1-10). This statement reflects the fact that effective management of ecosystems will translate into critical social, economic, and environmental benefits to the country. As examples of **standards and principles**, instead of developing a new system, it would be strategic to consider the application of existing initiatives such as the Green List, CATS, or METT (among others). In **implementation**, the channels for fund transfer are a critical consideration. In addition, support for encouraging gradual and continuous improvement in PA management performance is also another avenue for adopting performance based financing. Finally, these mechanisms need to be subject to critical **monitoring** to assess how the efforts and funding commitments contribute towards effective PA management in Malaysia.

Figure 15. Review of the Performance Based Financing Framework



Figure compiled by the MTR team, with online source materials drawn from UNDP SDG, CBD, Economic Planning Unit Malaysia, New Straits Times on the 11th Malaysia Plan, IUCN Green List, Conservation Assured Tiger Standards, ASEAN Heritage Parks and various other sources.

125. A spin-off activity that complements the establishment of a systemic performance-based financing framework, is to provide additional site-level incentives for improved management performance within PAs. Those PAs that achieve a higher level of management effectiveness according

to recognized standards could receive added incentives for their accomplishment. Measuring management achievement may be according of the standards mentioned here, e.g. NFPA, IUCN Green List, ASEAN Heritage Parks, World Heritage Programme, etc. Such incentives would not necessarily be financial in nature, and could be in the form of training, awards, or certifications. Recognition could be given to a PA as a whole, or to groups or individuals associated with the PA (e.g., Outstanding Honorary Ranger, Outstanding Tour/Nature Guide). The PMU, with support from DWNP and NRE, could organize such an activity.

126. Though performance-based finance has its benefits, in the context of the PA Financing Project, it may more appropriately play a **complementary** role as a catalyst, rather than as an overall encompassing tool to promote PA management effectiveness. This is due at least in part to the fact that there are other viable avenues available that can contribute to project effectiveness. The analysis undertaken during the MTR indicates that the performance based concept in financing may have been placed too high up in the project results framework (at the objective level). However, it clearly has significance at the outcome or output levels. The **project goal**, which is to “ensure that protected areas in Malaysia are underpinned by adequate financial and technical resources, within an overall system that ensures representativeness and nation-wide coherence, safeguarding globally significant biodiversity and playing an essential role in the Nation’s sustainable development”<sup>13</sup> should be a more appropriate statement for the overall guidance of project implementation.

### ***Recommendation No. 2: Establish Action Plan on Protected Areas and Sustainable Finance***

127. Sustainable financing has been highlighted in the various Malaysia Plans. The 11th Malaysia Plan specifies the need to establish sustainable financing mechanisms to support funding to address environmental pollution, conserve biodiversity and protect ecosystems (Strategy A3). The use of economic instruments to support sustainable finance initiatives had been highlighted in the 8th, 9th and 10th Malaysia Plans. More recently, the National Policy on Biological Diversity 2015-2025 recognises the need to adopt sustainable financing initiatives to meet the targets of the policy through specific actions. These include:

- **Action 17.1:** Improve the utilisation of the existing funding mechanisms
- **Action 17.2:** Scale up the National Conservation Trust Fund
- **Action 17.3:** Explore and implement new and innovative financing mechanisms
- **Action 17.4:** Diversify state governments’ revenue stream<sup>14</sup>

128. The assessment of enabling frameworks in relation to revenue options in the business plans for Taman Negara National Park, Royal Belum State Park and Endau-Rompin National Park, produced under this project, has identified that there is currently no policy framework that is expressly dedicated to PAs in Peninsular Malaysia. There is a need for a solid institutionalized foundation for PAs, namely, a dedicated policy vision on the contribution of PAs to the country’s biodiversity, ecosystem function and overall well-being, in order to compel national and State governments to increase budgetary support and other non-financial aid (such as capacity building and awareness raising) for PAs.

129. The assessment further identified that the lack of such policy is inherently a barrier towards long-term sustainable financing of PAs, and results in ineffective, ad hoc approaches for PA financing. Through a strong policy vision for PAs, government at both national and state levels has the ability to ensure that innovative and effective financing mechanisms are entrenched at the systemic level. It is recommended that high level engagement and intervention be undertaken, to put in place the much-

<sup>13</sup> UNDP. 2012. ProDoc.

<sup>14</sup> Source: MNRE 2016

needed PA policy, thereby enabling further action to be taken to ensure the selection and adoption of appropriate sustainable financing initiatives.

130. It is recommended that an appropriate form of policy intervention such as a draft “action plan” containing a consolidation of policies on PA management, be submitted to the MoF and EPU for consideration. The NRE, as the focal point for CBD, IUCN, and NBSAP is to lead the formulation of the action plan in collaboration with the key stakeholders in government and beyond. Key elements of the action plan should include the rationale of a PA policy in Malaysia and the relevant programmes to support the policy. Further details regarding the concept a PA Action Plan are presented in **Box 1**.

### Box 1. Concept for a PA Action Plan

PAs in Malaysia are now expected to achieve an increasingly diverse set of conservation, social and economic objectives. Originally conceived to conserve wildlife for game hunting, PAs are now required to provide ecosystem services, adapt to climate change, generate tourism revenue, and ensure the livelihood of local communities. Recognising the importance of PAs, the Eleventh Malaysia Plan has adopted the commitment to conserve at least 17% of terrestrial and inland water areas, as well as 10% of coastal and marine areas as protected areas in line with the Aichi Biodiversity Targets as one of the country’s two principal outcomes towards green growth.

More recently, the global endorsement of the Sustainable Development Goals (SDGs) promises to transform societal notions of what PAs are and what they should do. The SDGs – a set of 17 goals and 169 targets to empower countries to achieve sustainable development by the year 2030 – require a step change in which PAs are seen as a core development strategy. The PAs are a prominent tool for attaining SDG 14 ‘Conserve and sustainably use the oceans, seas and marine resources’ and SDG 15 ‘Protect, restore and promote sustainable use of terrestrial ecosystems,’ but they can also contribute to some other goals and targets.\*

While the discourse on PAs now pervades many social and economic objectives, the gap between PA needs and PA enabling institutional framework continues to grow. A study on PA effectiveness in Malaysia by Abdullah and colleagues (2018) show that most PAs in Malaysia are underperforming and hence call for a total reconfiguration of the PA system. Some PAs lack boundary demarcation, leading to land use conflict, others are not managed effectively with evidence of severe development encroachment, while signs of ecological degradation are apparent in many key PAs. The PA Financing project further demonstrates that financial and technical resources currently available for management pale in comparison with the challenges PAs in Malaysia currently face.

Therefore, as the global agenda for PAs evolves, so too must the national policies that guide the planning, resource use and management of PAs. In other countries, the national policy may take many forms including national strategies and action plans on PAs, Convention on Biological Diversity programme of work, and a national PA framework. To meet these changing expectations, the MTR Team proposes that the PA Financing project strengthen the enabling policy environment for PAs in Malaysia by formulating a draft National Action Plan on Protected Areas. This is in line with the project objective “to provide the capacity, policy and institutional framework to enable performance-based financing”. The Project can consolidate its findings on Policy and Institutional Gaps, NCTF, PA Master List, and other related components from the Project and other national policies as a basis for the draft PA Action Plan. Upon approval by the National Steering Committee, the draft Action Plan will have to be tabled to the National Land Council to get the endorsement of the Chief Ministers of the States, and the National Finance Council for financial commitment. With approval from the Councils, the draft Action Plan will then have to be considered by the Cabinet of Ministers for adoption as a national policy. It is envisaged that the Action Plan will pave the way for a holistic reform of the PA system in Malaysia to achieve its desired ecological preservation goals and the broader socio-economic objectives of the country. The Action Plan will also provide clarity and guidance on the direction needed to operationalise the PA component of the current National Policy on Biological Diversity at both the State and National levels.

\* Goal 1 End poverty – indigenous and community-managed PAs support targets 1.4 and 1.5; Goal 2 Zero Hunger – PAs support target 2.4 on maintenance of ecosystems, and 2.5 on plant genetic diversity; Goal 3 Healthy Lives – PAs provide recreational benefits and support mental health and wellbeing (target 3.4); Goal 6 Water and Sanitation – PAs can protect watersheds and water-related ecosystems (target 6.6) and support Integrated Water Resource Management; Goal 11 Sustainable Cities – PAs contribute to targets 11.4 on the safeguarding natural heritage, 11.5 on disaster risk reduction, and 11.7 public green space; Goal 12 Ensure Sustainable Consumption and Production – PA supports target 12.2 on sustainable management of natural resources; and Goal 13 Climate Change – PAs provide carbon sequestration and are a resilience/adaptation strategy.

**Recommendation No. 3: Strengthen Budget Planning and Budget Platform**

131. One of the key issues highlighted in the ProDoc is the fact that

*“Budget allocation is largely based on the current staff complement of the respective PA agencies rather than on actual PA management requirements as would be stipulated in management or business plans. As a result, the government’s financial investment in PA management and operating budget allocation remains sub-optimal and unsustainable. It will be increasingly important to institute needs- and performance-based budget processes for PA management, as well as establish policies and guidelines for PA revenue generation and retention” (Point 72).*

132. It is recommended that budget planning processes for PAs are strengthened at the Federal, State and site levels to ensure that:

- Budgets and identification of financing needs are tied to conservation goals and impacts.
- Budgets are effectively planned through collaborative budget planning with key partners to promote efficiency and cost savings.

133. At the national level, it is recommended that:

- the project should identify those ministries and agencies which are relevant for PA budgeting (e.g. Ministry of Tourism and Culture Malaysia in relation to the implementation of the National Ecotourism Plan) to encourage collaborative budget planning;
- efforts are made to build capacity among PA agencies in Malaysia on outcome-based budgeting and the development of a “Creativity Index (CI)” to be in line with the national budget framework with the support of the Economic Planning Unit and the Ministry of Finance Malaysia;
- the project identifies relevant funding avenues for PA management supported by federal resources such as federal funding for forest management in Sabah and Sarawak under the 11<sup>th</sup> Malaysia Plan (e.g. for Heart of Borneo initiative), 1MBeon patrolling through the Blue Ocean Strategy, etc.;
- funding avenues or systems are established to ensure the continuous implementation of the national level PA programs such as the PA Managers’ Conference and World Rangers’ Day.

134. At the state level,

- Funding needs for PA management are identified.
- The need for sustainable finance initiatives in relation to PA budgeting and management are recognized and institutionalized;
- Sufficient capacity and personnel are committed to work on sustainable finance and PA budget initiatives.

135. At the site level (for the sites under the PA financing project):

- Management plans that have been developed are adopted;
- Business plans that have been developed are adopted and implemented;

Support, primarily in the form of capacity building initiatives, is provided for the implementation of the management and business plans.

---



#### **Recommendation No. 4: Develop and Pilot-Test Sustainable Financing Mechanisms**

136. During the course of project consultations, various financing mechanisms have been a frequent and popular topic of discussion. The financing mechanisms mentioned and considered have included (among others): user fees, voluntary donations, taxes, corporate social responsibility (CSR) arrangements, payment for ecosystem services (PES), and licensing and certification schemes.

137. While such mechanisms may offer opportunities for generating reliable revenue streams, more often than not, they are only proposed as theoretical ideas, without ever reaching the point where they are tested, applied, and put into practice. The MTR team recommends that, in cooperation with partners in government, the community, and private sector, one or more innovative mechanisms for sustainable financing be adopted to be put into action and tested. This should include such practical considerations as developing the processes and standard operating procedures for implementing the mechanisms, collection and channeling of funds, etc. Pilot-tested initiatives, if successful, could then be replicated at multiple sites. Decisions for selecting proposals for various pilot projects could be based upon the following guiding criteria: financial returns, administrative needs, political acceptability, social acceptability and environmental impact. It should be noted that financing mechanisms may be implemented at different levels.

138. Financing mechanisms can be considered at the national, state and site levels. The implementation of financing mechanisms need to consider four critical guidelines.

- An overarching mandate/policy/institutional commitment that recognizes the need to work on sustainable finance initiatives.
- Ensure enabling environments are addressed to facilitate the effective implementation of financing mechanisms (some components include the ability to retain and reinvest revenue from financing mechanisms back to the PA agency or protected area and opportunities for diversification of funding sources)
- Build partnerships to facilitate shared responsibilities and cost sharing.
- Consider innovative mechanisms beyond traditional approaches (e.g. partnerships with BSKL – Kuala Lumpur Stock Exchange to work with corporates with strong Environmental, Social and Governance (ESG) Index, Employees Provident Fund, *Kumpulan Wang Amanah Negara* (KWAN), Malaysia’s natural resource fund)

139. At the national level, specific recommendations include:

- Strengthen the implementation of the National Conservation Trust Fund.
- Incorporate sustainable finance component into the draft National Framework for PAs.

140. At the state level:

- Ensure sufficient resources and capacity is accorded for the development of financing mechanisms.
- Consider performance based financing by supporting continuous improvements of PA management effectiveness efforts.

141. At the site level (project sites):

- Implement the business plans developed for the PAs and address key issues highlighted in the enabling environment assessment of the business plans.
  - Support capacity building at the community levels in relation to sustainable financing and identify effective avenues for benefit sharing.
-



- Identify easily implementable financing mechanisms and pilot test within the project period (e.g. voluntary fees, merchandise, reviewing existing fees, improving communication and reaching out to park users/public etc).

**Recommendation No. 5: Promote Institutional Strengthening at All Scales to Achieve Sustainable Finance Goals**

142. Institutional arrangements are important for achieving the sustainable finance goal. The ProDoc recognizes that sustainable financing is often beset by the problem of “scale mismatch” – this occurs when management actions are undertaken at a scale that is not appropriate for solving a particular PA governance challenge. In addition, in Malaysia, the institutional structures or mechanisms to adapt to the multiscale nature of PA management challenges and effectively manage across scales are also lacking.

143. Therefore, it is recommended that the following measures at the institutional level are implemented to ensure that sustainable finance goals are met:

- (i) Site level – NRE, MoF and State parks authorities are to put in place a practical mechanism whereby resources that are generated within or by a PA, can be retained and reinvested back into the conservation and management requirements of the PA, building on from the proposed legal review of State enactments related to PA management;
- (ii) PA network level – With endorsement from Federal and at State authorities, DWNP, JNPC, and PSPC are to establish business units, with competent personnel, to focus on enhancing funding sources and investments (without compromising conservation objectives), as well as cost savings through partnerships, licenses, etc; and
- (iii) National level – EPU, NRE, and relevant authorities at the national level are to prioritize institutional strengthening, particularly to support the national goals and objectives on PAs (11<sup>th</sup> Malaysia Plan, National Biodiversity Policy, National Ecotourism Plan etc) and various commitments through regional and international agreements (e.g. Convention on Biological Diversity Plan of Action for Protected Areas, Indonesia-Malaysia-Thailand-Growth Triangle [IMT-GT] Implementation Blueprint, etc.).

144. Further details regarding these concepts are found in documentation which has been prepared under the Project.<sup>15</sup>

**Recommendation No. 6: Confirm That Government Actions Intended to Support and Strengthen Biodiversity Conservation, Actually Do So**

145. There are two areas in which government actions that are intended to support biodiversity conservation may become undermined, such that they may not achieve that purpose. One of these has to do with government expenditures. For example, expenditures for infrastructure, as part of the overall budgeting for a PA, may not enhance biodiversity conservation in that PA, even though the target for achieving a certain level of spending has been reached. In such cases, the indicators need to be re-evaluated and realigned to more accurately reflect improved biodiversity conservation.

<sup>15</sup> PA Financing Project. 2016. Assessment of the Enabling Frameworks in relation to Revenue Options in the Business Plans for Taman Negara National Park, Royal Belum State Park and Endau-Rompin National Park. Final Draft Report. Enhancing Effectiveness and Financial Sustainability of Protected Areas in Malaysia.

146. A second instance relates to the classification of PAs. It may be the case that the legal objective of designating a PA may be different from the management objectives of the PA, resulting in cases where uses within the PA may in fact be incompatible with biodiversity conservation objectives. Some effort has already been made to address this concern as part of the initiative to prepare a National Framework for Protected Areas, supported under the project. The purpose of this recommendation is to emphasize the importance of fully resolving this matter.

147. In both the cases described above, mechanisms need to be put in place to ensure that government actions intended to support and strengthen the protection of vulnerable biodiversity resources, actually do so. There are a variety of methods that can be employed to achieve this.

148. In the case of funding, it is recommended that specific uses of funds need to be more carefully evaluated, to ensure that such funds actually contribute to strengthening of biodiversity conservation. For example, it could be argued that expenditures on infrastructure within PAs do not necessarily improve conservation efforts. A specific instance could be examined, i.e., construction of a new pier and associated shore facilities. The pier could be used for multiple purposes, for instance, transport of passengers and goods, enhancing tourism activities, and creating opportunities for recreational water sports. The pier might also contribute to the speed and efficiency with which PA patrols could be mobilized. So in this latter instance, some specific benefits for conservation efforts can be seen. The degree to which specific financial expenditures contribute to the biodiversity conservation objective could then be weighted and scored accordingly.

149. In the case of PA categorization, as already mentioned, development of a National Framework for Protected Areas (NFPA) System in Malaysia is underway with support of the PA Financing project. As part of this effort, extensive stakeholder consultations have been conducted, in order to clearly identify the various categories of facilities that should be included as legitimate protected areas. The effort is nearing completion, and a final draft report has been prepared.<sup>16</sup> It is recommended that using the NFPA system structure as a guide, efforts be strengthened to ensure that recognized requirements for designation and categorization of PAs are met. This might consist of reviewing categorization and gazettelement standards, or employing certification schemes (e.g., IUCN Green List) to ensure that conservation is clearly incorporated as a primary management objective. For example, under a well-conceived NFPA system, facilities which are intended purely for production use, or purely for recreational use, should not be considered as PAs. However, if such facilities contribute to a meaningful extent to conservation of biodiversity, then they would fit into the PA classification system. The NFPA draft document clearly states that “...rather than categorising PAs as based on the legal gazettelement, PAs in Malaysia need to be classified according to their management objectives.”

150. Using a certification scheme is one mechanism that can help to ensure that management objectives are being met. The Green List, a global programme established and implemented by IUCN, aims to **increase the number of protected and conserved areas that deliver successful conservation outcomes through effective and equitable governance and management**. The program is being initiated in Malaysia through the adaptation of the generic indicators of the Green List Standard.<sup>17</sup> Following the Green List system (or other effective certification scheme) can help to ensure that management objectives are put into practice, and tangible conservation benefits are realized.

151. It should be noted that the two parts of this recommendation, as explained here, are linked—budgetary commitment can be taken as at least one indicator of commitment to the biodiversity conservation objective. If the budgetary commitment to biodiversity conservation is properly analysed (with specific expenditures scored or weighted to reflect the degree to which they contribute to this

<sup>16</sup> PA Financing Project (PIMS 3967). 2017. National Framework for Protected Areas (NFPA) System in Malaysia. Draft of 4 July 2017.

<sup>17</sup> Further information on the IUCN Green List program can be found at: <https://www.iucn.org/theme/protected-areas/our-work/iucn-green-list>

objective), then the budget analysis can be one factor to consider in categorizing specific PAs within the NFPA system.

152. Implementation of this recommendation will require considerable coordination and cooperation among several parties. Financial analysis will need the involvement of personnel from Ministry of Finance and EPU. Identification of certification schemes may require that dialogue be undertaken (e.g., in seminars or workshops) among a wide range of stakeholders. Decision-making and policy recommendations will need to be coursed through the NSC. And the PMU will have to provide an overall coordinative function to ensure that this recommendation is effectively implemented.

### **Recommendation No. 7: Promote Greater Community Engagement and Empowerment**

153. The project has had a strong impact in terms of community empowerment, especially in JNPC. For example, through the learning trips to Sabah, community members from Johor were motivated to develop their own cooperative. It is recommended that efforts be undertaken to continue, replicate, and scale-up project successes for community empowerment:

- (i) Community members from the area around Endau-Rompin Park who participated in such visits, can be leaders and connect with communities from other PAs (i.e., Taman Negara and Royal Belum State Park, as well as from other parks (such as Gunung Ledang, Krau Wildlife Reserve, Tasek Bera Ramsar Reserve, Tasik Chini Man and Biosphere Reserve, Endau-Kluang Wildlife Reserve, and Endau-Kota Tinggi Wildlife Reserve) who have not had this exposure. Deeper learning is possible on the part of the PA networks by drawing lessons from the Sabah model *vis-a-vis* ‘the right to use’ clause in its *Section 41 of the Forest Enactment*;
- (ii) Through activities involving engagement with communities, the project was successful in harmonizing previously-contentious relationships between community members and park managers. Hence, it is recommended that the project through DWNP and PSPC together with Ministry of Tourism and Culture (MOTAC), NGOs, and JAKOA, continue similar efforts in promoting greater involvement of the local and indigenous communities associated with Taman Negara and Royal Belum parks.
- (iii) Having built the trust and firm working relationship with the community members of ERNP, it is recommended that this project continues its support through the community action plan that was developed as part of the project output and explore other trust-building interventions such as the appointment of Honorary Wildlife Wardens.
- (iv) Strategically, it is recommended that the project explores opportunities for adopting financing mechanisms to support the local community action plans related to the ERNP and explore potential funding for community efforts.

154. One important component of promoting such engagement with the community, has to do with articulating and demonstrating benefit-sharing to community members. Once communities become more aware of the benefits that derive from improved management of the PAs, stronger grass-roots ownership, which in turn fosters more effective protection and enforcement within PAs, can be achieved under the leadership of each PA. It is also recommended that the project examine and encourage tourism packages that truly involve the participation of local and indigenous people as a basis to demonstrate the benefit-sharing model.

155. Another important element of strengthening community involvement relates to gender. Gender is not highlighted in the project design, and as a result, gender awareness as demonstrated by the project has been weak. Therefore, it is recommended that the project incorporate greater gender sensitivity, and build it into the implementation of project activities:

- (i) Examine gender-based dimensions of the project by collecting information on differences in gender roles, activities, constraints, and opportunities for people potentially involved or affected by the project;
- (ii) Building on the gender-based opportunities and constraints for involvement identified above, the project PMU is to work with communities at the three target sites to brainstorm specific adjustments or additions to the management and business plans; and
- (iii) The project should incorporate an indicator for monitoring gender integration into the SRF.

156. However, gender sensitivity needs to also be introduced in a culturally sensitive manner, and methods for introducing it need to be developed on a case-by-case basis. Sex disaggregated data need to be gathered to factor in gender intervention that is cognizant of the local culture.

157. The PMU and UNDP Malaysia will be responsible for initiating the implementation of this recommendation.

### **Recommendation No. 8: Extend the Project Timeframe**

158. There are inherent opportunities to build on some of the successes already achieved by the project, through scaling up and replication. Also, some of the other recommendations being made as part of the project and this MTR that are critical for the success of the project would require additional funds and time to be committed (but still within remaining project budget), in order to implement them. Some key rationale for project extension include:

- Considerable time was needed to lay the ground work for familiarizing key stakeholders on the priorities for PA financing;
- Engaging partners required more time as the project worked at three levels (site, network and national)
- Longer time needed for procurement, key activities important activities still needs to be implemented
- New project activities recommended as part of the project and the MTR.

159. As determined through the financial analysis, a very significant portion of the project budget is still unutilized. A number of factors have contributed to this situation, among them, higher-than-anticipated cofinancing contributions, and beneficial currency exchange fluctuations. Thus an extension of the project timeframe would be possible, at no additional cost. This would allow for:

- completion of project activities already planned, but not yet implemented such as the:
  - (i) Strategic Plan and Resource Mobilisation for the NCTF
  - (ii) Transformation of the IBD
  - (iii) TEEB studies including the mainstreaming and policy uptake of its findings
- Implementation of completed studies/initiatives:
  - (i) National PA Framework to be adopted and implemented.
  - (ii) Standardized performance measurement systems based on available mechanisms to be firmed up in conjunction with National Framework
  - (iii) Management Plans to be implemented for the ERSP, TNNP and RBSP
  - (iv) business plans to be implemented, including identification of opportunities for agency wide revenue generation(v) findings of the Capacity Building Assessment Report to be implemented

- replication and scaling up of successful project initiatives:
  - (i) A road map and management plan template for other PAs in Malaysia
  - (ii) Management Plan for Gunung Ledang National Park
- including implementation of new project activities, including legal review and strengthening based on analysis of the Assessment of the Enabling Frameworks in relation to Revenue Options in the Business Plans for the three PA sites
- implementation of a number of the recommendations presented in this MTR (e.g. strengthening community outreach, capacity building for applying performance based standards, sustainable financing initiatives, strengthening of budget planning and processes etc).

160. Therefore it is recommended that the timeframe of the project be extended for two more years (until 30 June 2021) to allow more time for these additional activities to be undertaken.

161. UNDP will be responsible for requesting a no-cost extension of the project timeframe from GEF.

**Recommendation No. 9: Continue High-Level Engagement For Greater Buy-In and More Effective Implementation of the Project**

162. To ensure that policies, plans, and proposals for more effective conservation efforts in PAs can be better implemented, it is essential to have the commitment and support of key decision-makers at the highest level of government. In order to achieve this, it is recommended that ongoing engagement with ministers and other top officials be maintained, and where possible, strengthened.

163. Two key actions are proposed:

164. Key Action 1: Increase awareness of policy-makers on the importance of PAs. This includes not only engagement with the NRE Minister and high-level officials within NRE, but also, stronger engagement with other key project partners in other ministries (e.g. Ministry of Finance, Ministry of Tourism). Key platforms for such an initiative include the National Land Council, the National Finance Council and the National Biodiversity Council and State-level Executive Committees (Exco) on the Environment. The target groups include MoF, EPU, NRE, Public Service Department (JPA), Iskandar Regional Development Authority (IRDA), Ministry of Tourism and Culture (MOTAC), MOSTI, State EPU, State Secretary (SS), Setiausaha Kerajaan, State Secretary (SUK), State Treasury, Plan Malaysia (Jabatan Perancangan Bandar dan Desa, JPBD), NGOs, East Coast Economic Region (ECER), and Northern Corridor Economic Region (NCER).

165. Specific mechanisms for engagement of decision-makers by the project might include (among others): participation in regular meetings and communications with identified officials; continuing advocacy initiatives; convening of special high-level ‘round tables’ to improve knowledge and awareness of high-level decision-makers about project activities and about conservation initiatives in general; and where appropriate, provision of conservation-oriented training and awareness-raising opportunities for top government officials.

166. One other valuable tool which can be used as a mechanism for better engagement, and which can better inform top decision-makers about the importance of biodiversity and natural ecosystems, are economic valuation studies. The proposed TEEB study, a project activity which is to be undertaken in the near future, should provide a good understanding of the economic valuation of the “ecosystem goods and services” which are the main focus of the project. Presenting the findings of such studies can serve to translate ecological goods and services into easily understood “dollars and cents” terms, which makes the benefits of biodiversity and natural ecosystems more readily apparent. With greater understanding comes a better chance that top decision-makers will react more favorably when approached to give their

support to biodiversity conservation and habitat protection efforts. Going hand-in-hand with improved understanding, there is a need for a strong political will to adopt and implement recommendations from these studies. Identification of “champions” among senior Government officers can help to ensure that these recommendations are internalised and incorporated into Government funding and policy formulation.

167. At the operational level, this recommendation should be facilitated by PMU personnel, with support provided by DWNP and NRE where appropriate.

168. Key Action 2: Promote discussion of the urgent need for sustainable environmental financing in Malaysia, at the highest level. The high-level institutions targeted for such discussions include the Cabinet Committee, National Land Council, and National Finance Council. The discussions would be consistent with the Government’s commitments and efforts in green growth and sustainable development.

169. Some key points to be considered include:

- The importance of Malaysia’s environmental resources for nation building and poverty alleviation
- The opportunity to consolidate efforts and lessons learned from past GoM projects related to sustainable financing over the last 15-20 years
- Options for raising revenue through a transparent system
- Options for committing financial resources that are required for environmental conservation distributed at both the federal and state level to achieve the country’s commitments.

170. It is recommended that the EPU will take the lead role in this action, and will identify and compile information on all relevant Government commitments (e.g. 11<sup>th</sup> MP, SDG, Aichi Targets/CBD), as well as projects/initiatives (such as National PES study, GoM-EPU-DACNED program on conservation finance, PA Financing Project, BIOFIN, etc.).

## **2. Additional Recommendations (Medium Priority)**

171. In addition to the high-priority recommendations described above, the MTR team has identified several other recommendations which are presented below. Although of somewhat lower priority, these recommendations are well worth considering, as they can strengthen the project further still, and facilitate achievement of improved outcomes.

### **Recommendation No. 10: Ensure That Indicators in the SRF are Specific, Measurable, Achievable, Relevant and Time-Bound (SMART)**

172. As Table 10 clearly demonstrates, many of the indicators employed in the project design do not fully satisfy the SMART criteria. These need to be re-evaluated and adjusted accordingly. Ensuring that the indicators are “SMART” will facilitate a more accurate determination of how successful the project is in achieving its stated objective and outcomes.

173. The main areas in which deficiencies exist can be readily ascertained. Of the SMART criteria, only the Relevance criterion was fully met for all indicators (16 of 16)—all the indicators are considered to be Relevant. For the other criteria, there were significant shortcomings. Table 10 shows that:

- Only a few of the indicators are sufficiently Specific (5 of 16);
  - Most of the indicators are Measurable (10 of 16);
-

- Only half of the targets are Attainable (8 of 16); and
- None of the indicators are time-bound (0 of 16).

174. Usually, the corrections which are required are quite clear and obvious, being suggested simply by the deficiencies. For example, if a particular indicator is not “Time-bound,” this is corrected by simply adding a time parameter, e.g., “**By the year 2018**, area of PA patrolled increased by 20 percent.” It is recommended that the indicators be reviewed and revised accordingly, to ensure that they are all fully “SMART-compliant.”

175. Other weaknesses in the indicators were also observed. For example, for Outcome 3, the components identified as elements of Indicator 4 are intended to provide a means to measure improvements in site-level management of PAs, especially in enforcement. However, as presented, these components of Indicator 4, and their targets, do not provide a means for clearly establishing whether or not improvements in management have actually been achieved. The last component listed is especially illustrative: the indicator is “number of illegal activity cases (including encroachment and poaching) reported,” and the target is to achieve a 50% increase by the end of the project. Such an increase is highly ambiguous—a higher number of cases reported could be indicative either of more effective enforcement, or of increased illegal activity! Thus reviewing the indicators in the SRF to eliminate such anomalies, is part of this recommendation.

176. The PMU will have primary responsibility for leading the implementation of this recommendation. Inputs from other stakeholders will be required, and may be solicited during targeted meetings, in workshops convened for the purpose, or in regular meetings of the NSC.

**Recommendation No. 11: Strengthen Communication and Coordination, and Leverage Collaboration Between the PA Financing Project and Related Initiatives**

177. The conservation of Malaysia’s biological diversity has attracted considerable support, both from international and domestic sources. There are many conservation initiatives operating in Peninsular Malaysia, but in pursuit of different goals. There is a need for the different actors, working on various initiatives, to coordinate more closely. It is therefore recommended that the project formalize regular coordination meetings with IC-CFS, BIOFIN, and other related projects to optimize efficiency, clarify attribution, and ensure greater conservation impact.

178. To further strengthen communication, it is also recommended that NRE utilise the proposed MyPA Platform or any PA-related platforms or working groups involving federal and state agencies as well as NGOs. The socialization of MyPA among stakeholders is also possible by organising roadshows at related states.

179. In addition, it is also recommended that the project undertake a rapid analysis of other stakeholder networks, to identify other potential partners to build potential long-term cooperative relationships for PA management beyond the project period. The stakeholder analysis can facilitate the identification of new knowledge and opportunities for (as well as barriers to) project sustainability.

180. Existing networks that could be possible partners include WCS, WWF-Malaysia, MNS, Pulau Banding Foundation, and UNDP-GEF Small Grants Programme. Other emerging networks also exist such as the Koperasi Jakun Asli Peta Mersing Berhad (established 3 May 2017). Another potential new network is the IMT-GT regional cooperative effort. This effort could serve to link the Royal Belum State Park with Hala-Bala Wildlife Sanctuary and Bang Lang National Park in Thailand. Environment has been identified as one of the seven strategic pillars to support IMT-GT Vision 2036 where the sustainable management of natural resources (including forests, water, wildlife etc.) within the IMT-GT, and enhancing collaboration for the management and restoration of adjacent ecosystems, have been

identified as strategic implementation actions.<sup>18</sup> This is a potential avenue to be explored that would be in line with the country’s commitment to regional cooperation.

181. The NRE and DWNP are primarily responsible for strengthening institutional communication functions as described here, while the responsibility for network analysis is to be led by the PMU.

**Recommendation No. 12: Establish More Effective Communications Platform Linking Up the States of Pahang, Terengganu and Kelantan in Taman Negara**

182. While Taman Negara NP is considered to be a single PA, it is legally governed by three separate enactments in the states of Pahang, Kelantan, and Terengganu. The statutes vest the Trustees of Taman Negara (comprising the rulers of the three states) with overarching power to administer the PA. At the departmental or strategic level, the Trustees confer the responsibility for management of Taman Negara to the Director General of DWNP as the park’s Officer-in-Charge. At the operational level, in Pahang, the officers at the Kuala Tahan and Sungai Relau centers of administration report to the Federal DWNP. Conversely, the officers working at the centers of administration in Kuala Koh, Kelantan and Tanjung Mentong, Terengganu report to the Kelantan State DWNP and Terengganu State DWNP respectively. In practice, neither the DWNP nor the State Economic Planning Units (UPEN) are privy to the matters discussed at the meetings of the Trustees, owing to their high-level nature.

183. In the PA Financing Project, State involvement at the decision-making level is ensured through participation of State representatives as members of the National Steering Committee. However, unlike for Perak and Johor, which are represented by their State Park authorities, the States of Kelantan, Terengganu, and Pahang participate in the NSC through their respective UPENs. Currently, there is no platform to discuss the PA Financing project at the state level in the three states to ensure effective participation of the UPENs at NSC meetings. To remedy this situation, it is recommended that the following two committees are established to create a better communications channel that enables the stakeholders within and among the three States to interact directly with the Project Management Team:

- (i) Joint Management Committee – The membership of the committee includes EXCO and UPEN from the states of Pahang, Kelantan and Terengganu as well as officials from the Eastern Corridor Economic Region, Forestry Department and DWNP. The Chairperson of the Committee is to be rotated annually amongst the three states.
- (ii) Inter-State Park Committee – With membership from Pahang, Kelantan, and Terengganu, the committee is to focus on issues common to all three states for instance marketing, branding, and financing of PAs.

184. The arrangements above must be cognizant of the significant differences among the states concerning their ability to retain and exert legislative and executive powers in managing Taman Negara.

185. NRE will be responsible for convening the meetings of both committees.

**Recommendation No. 13: Apply a “Theory of Change” Approach**

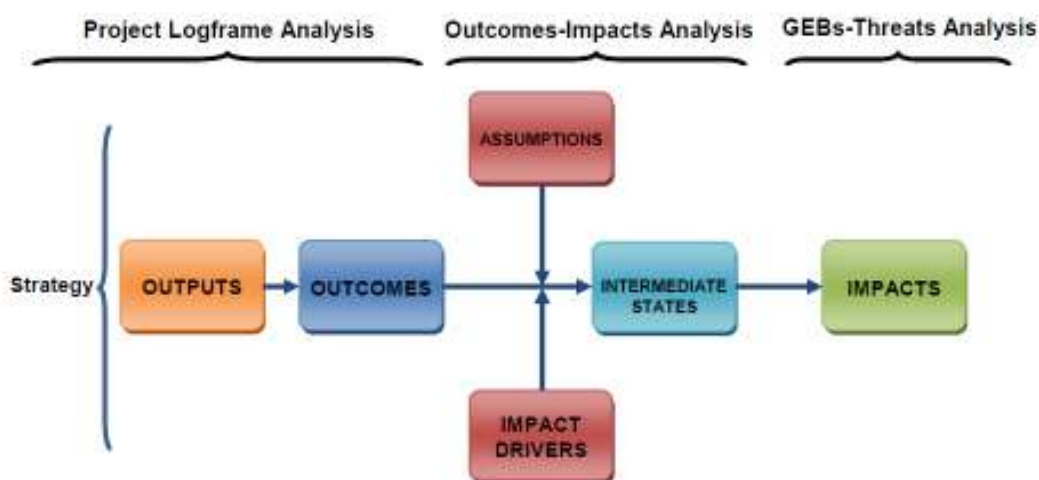
186. The “Theory of Change” (ToC) analytical approach is especially helpful and relevant for those projects where goal and objective may not be fully realized during the life of the project, but may be achievable at some future date. Because the PA Financing Project is in this category, it is recommended that the ToC approach be used to more reliably assess the likelihood of whether or not the overarching project goal and objective can be achieved in the future.

<sup>18</sup> Centre for IMT-GT Subregional Cooperation (CIMT). 2017. IMT-GT Implementation Blueprint 2017-2021



187. One variant of the ToC approach is referred to as the “Review of Outcomes to Impacts” (ROtI) analysis. The ToC/ROtI approach has been adopted by GEF, and guidance for the methodology is presented in a handbook.<sup>19</sup> The diagram presented in Figure 4 could be used as a starting-point to identify the various change pathways for the PA Financing Project. The approach relies on determining whether or not certain “intermediate states”—enabling conditions which allow the goal/objective to be achieved—have been put in place as a result of project actions (Figure 16). The intermediate states may apply to financial, socioeconomic, institutional, or environmental preconditions which need to be established, in order to support the attainment of the project goal/objective. The MTR considers this approach to be especially important for the PA Financing project because, while significant risks to sustainability have been identified, at the same time, significant achievements have been made in setting up important preconditions which may support the achievement of the project goal and objective over the long term. The Theory of Change analysis will be conducted by a qualified independent evaluator during the terminal evaluation of the project.

**Figure 16. Theory of Change/Review of Outcomes to Impacts (ROtI).**



Source: GEF 2009.

### C. Conclusion

188. By its nature, and according to the requirements defined in the TOR, this midterm review has followed a rigorous and exhaustive process to gather and analyse extensive data, in order to obtain fact-based evidence that is credible, reliable and useful for the purposes of the review. Through this process, a detailed, objective, and accurate view of the project progress to-date has been obtained.

189. The overall conclusion of the MTR is that considerable progress has been made, on a number of fronts, that can help to advance the cause of more effective management of PAs in Peninsular Malaysia. Strong successes have been registered, particularly in the areas of improved data management, communications and knowledge-sharing, training, and capacity-building, both among PA

<sup>19</sup> GEF. August 2009. The ROtI handbook: Towards enhancing the impacts of environmental projects. Accessible at: <http://gefieo.org/sites/default/files/ieo/ieo-documents/ops4-m02-roti.pdf>

managers and personnel, and among stakeholders at the community level. Linkages and cooperation among agencies and institutions with shared objectives and mandates for conserving biodiversity resources have also been improved.

190. However, it is noted that significant challenges still remain in other areas that are critical for achievement of the ultimate objective and outcomes originally envisioned for this project. The central intention of the project is to establish a reliable system for sustainable, performance-based financing to support improved management of PAs. In many respects, progress on this front has been limited: it still remains for a definition or policy statement to be formulated, and corresponding action plans to be implemented to clearly present the meaning of the concept of “performance-based financing.” Furthermore, key decision-makers at the highest government levels have yet to catalyze strong actions for conserving Peninsular Malaysia’s unique and irreplaceable biodiversity resources, which can only be done through tangible policy and financial commitments.

191. Examining the areas in which the project has been relatively successful, and contrasting those with the aspects where the project has been weak, it soon becomes apparent that the project has had the most success in its efforts at the grass-roots, “on the ground” level, while progress at the higher policy level has been more limited. The intention of the original project design, working on three different levels, was undoubtedly to encourage synergies among all three levels, that would strengthen the overall effectiveness of the project in achieving the intended results. This conclusion has led to the formulation of a series of recommendations that are intended to capitalize upon and broaden past successes, and at the same time, to strengthen those areas where weaknesses have been identified. If these recommendations are successfully put into practice, significant improvements in the implementation of the project can be achieved, leading to more positive project outcomes over the long-term.

## **ANNEXES**

- A. LIST OF DOCUMENTS REVIEWED**
- B. REPRESENTATIVE QUESTIONS USED DURING STAKEHOLDER  
CONSULTATIONS AND INTERVIEWS**
- C. AGENDA FOR STAKEHOLDER DIALOGUE SESSION (19 MAY 2017), AND  
CONCLUDING WORKSHOP (9 NOVEMBER 2017)**
- D. LIST OF PERSONS INTERVIEWED**
- E. REVIEW OF PROJECT WORK PLANNING IN RELATION TO THE PROJECT  
IMPLEMENTATION PLAN**
- F. CONSULTANT TOR (EXCLUDING TOR ANNEXES)**
- G. RATINGS SCALES**
- H. MTR MISSION ITINERARY**
- I. CODE OF CONDUCT FOR EVALUATORS/MIDTERM REVIEW CONSULTANTS**
- J. SIGNED MTR FINAL REPORT CLEARANCE FORM**

## **ANNEX A. LIST OF DOCUMENTS REVIEWED**

### **I. Project Documents**

1. Letter dated 23 May, 2012 from Yannick Glemarec, UNDP-GEF Executive Coordinator to Mr Kamal Malhotra, UNDP Resident Representative Malaysia titled ‘Full-Size Project, Enhancing the Effectiveness and Financial Sustainability of Protected Areas in Malaysia – PIMS No.3967’.
  2. Letter dated March 30, 2012 from Ms Monique Barbut, Chief Executive Officer, Global Environment Facility to Mr Yannick Glemarec, UNDP-GEF Executive Coordinator (Endorsement Letter).
  3. Letter Dated 3 March 2009 from Dr Lian Kok Fei to Ms Monique Barbut, Executive Director, Global Environment Facility titled ‘Endorsement for Enhancing Governance and Financial Sustainability of Protected Areas in Malaysia.
  4. Project Identification Form (PIF) for Enhancing the Effectiveness and Financial Sustainability of Protected Areas in Malaysia. February 3, 2010. Ministry of Natural Resources and Environment and the Global Environment Facility.
  5. Malaysia and UNDP-Malaysia, 2013, Annual Work Plan Enhancing Effectiveness and Financial Sustainability of Protected Areas in Malaysia.
  6. Malaysia and UNDP-Malaysia, 2014, Annual Work Plan Enhancing Effectiveness and Financial Sustainability of Protected Areas in Malaysia.
  7. Malaysia and UNDP-Malaysia, 2015, Annual Work Plan Enhancing Effectiveness and Financial Sustainability of Protected Areas in Malaysia.
  8. Malaysia and UNDP-Malaysia, 2016, Annual Work Plan Enhancing Effectiveness and Financial Sustainability of Protected Areas in Malaysia.
  9. Malaysia and UNDP-Malaysia, 2017, Annual Work Plan Enhancing Effectiveness and Financial Sustainability of Protected Areas in Malaysia.
  10. Final Inception Report 2013, Enhancing Effectiveness And Financial Sustainability Of Protected Areas In Malaysia “Pa Financing Project” (Pims 3967)
  11. Ministry of Natural Resources and Environment Malaysia, Travel Report Summary:, 11th Meeting of the Conference of the Parties to the Convention on Wetlands (COP11), Bucharest, Republic of Romania. 3-15 July 2012
  12. Jennifer N.Tan, Travel Report Summary: Programme Workshop On Conservation Assured/ Tiger Standard (CA/TS) Organised By DWNP, WWF International & Perak State Parks Corporation, Pulau Banding, Belum. 27-28 February 2013.
  13. Jennifer N.Tan and Muthusamy Suppiah, Travel Report Summary: A Stakeholders’ Consultation Session With Perak State Park Corporation (PSPC), Gerik, Perak. 28-30 April 2013.
  14. Muthusamy Suppiah and Jennifer N.Tan, Travel Report Summary: A Stakeholders’ Consultation Session With Taman Negara. Taman Negara, Kuala Tahan, Pahang. 22-24 April 2013.
  15. Jennifer N.Tan and Muthusamy Suppiah, Travel Report Summary: A Stakeholders’ Consultation Session With Johor National Park Corporation (JNPC), Nusajaya, Johor, 9-10 May 2013.
  16. Jennifer N.Tan, Muthusamy Suppiah and Imelda Jevée, Travel Report Summary: Inception Report Finalisation Workshop, Kota Kinabalu. 12-15 August 2013.
-

17. Muthusamy Suppiah, Travel Report Summary: Consultation With IBD Director And Other Senior Personnel, Institute of Biodiversity (IBD), Lanchang, Pahang, 29 August 2013.
  18. Jennifer N.Tan and Muthusamy Suppiah, Travel Report Summary: Introducing Protected Areas (PA) Project & Establish Communications With Relevant Stakeholders In Johor, Johor Bharu, 4-5 March 2013.
  19. Muthusamy Suppiah, Travel Report Summary: Consultation With State Government of Kelantan. EPU, Kelantan, Kota Bharu. 29 September 2013.
  20. Jennifer N.Tan and Muthusamy Suppiah, Travel Report Summary: Introducing The Protected Areas (PA) Project And Team And Establish Communications with Relevant Stakeholders In Pahang. Kuantan, Pahang, 8-9 April 2013.
  21. Muthusamy Suppiah, Travel Report Summary: Consultation With State Government of Terengganu, EPU Terengganu, Kuala Terengganu, Terengganu, 1st October 2013.
  22. Muthusamy Suppiah, Travel Report Summary: Consultation With State Government Of Perak. EPU Perak, Ipoh, Perak, 2nd October 2013.
  23. Gan Pek Chuan, Travel Report Summary: Providing Technical Advisory Services to the Stakeholder Consultation Process. Gerik Perak, 28-30 April 2013.
  24. Gan Pek Chuan, Travel Report Summary: Providing Technical Advisory Services to the Stakeholder Consultation Process. Nusajaya, Johor. 9-10 May 2013.
  25. Gan Pek Chuan, Travel Report Summary: Supporting Project Inception Phase. Gerik Pulau Banding and Ipoh, 5-7 February 2013.
  26. Gan Pek Chuan, Travel Report Summary: Supporting Project Inception Phase. Johor Bharu, 4-5 March 2013.
  27. Gan Pek Chuan, Travel Report Summary: Providing Technical Advisory Services On The Project Organisation Structure. Ipoh Perak, 2nd October 2013.
  28. Gan Pek Chuan, Travel Report Summary: Providing Technical Advisory Services On The Project Organisation Structure And State Level Outputs/Activities. Kuala Terengganu, Terengganu. 1st October 2013.
  29. Gan Pek Chuan, Travel Report Summary: Providing Technical Advisory Services To The Project Inception Phase. Pulau Pinang, 20-22 March 2013.
  30. Jennifer N.Tan and Muthusamy Suppiah, Travel Report Summary: An In-Depth Discussion On The Protected Areas (PA) Project With The Relevant Key Stakeholders. Pulau Pinang for Protected Area Project Retreat. 20-22 March 2013.
  31. Jennifer N.Tan, Travel Report Summary: Introducing The Protected Areas (PA) Project And Establish Communications With Relevant Stakeholders In Perak. Gerik, Belum and Ipoh Perak, 6-7 February 2013.
  32. Razis Othman and Lili Tokiman, (Perbadanan Taman Negara Johor), IUCN World Park Congress Sydney, 2014.
  33. Frankie Thomas Sitam (PERHILITAN) 2014. The Annual Meeting Of The Scientific Working Group For Wildlife Forensic Sciences. San Antonio, Texas USA, 24-28 February 2014.
  34. Rajan Samikannoo, Summary Report: Seminar Biodiversity 2014. Xcape Resort Kuala Tahan, Pahang. 25-28 September 2014.
-

35. Shahrul K.K., and Muthusamy Suppiah. Travel Report Summary: Meeting and Discussion with IBD. Institute of Biodiversity, Lanchang, Pahang. 25th March 2014.
  36. Shahrul K.K., Justine Vaz and Muthusamy Suppiah. Travel Report Summary: Lab to Strengthen the Institute of BioDiversity (IBD) to conduct PA Training and Field Visit to Royal Belum State Park. Gerik, Perak. 16-19 July 2014.
  37. Muthusamy Suppiah, Travel Report Summary: Updating on the Project's Progress. EPU Nusajaya Johor, 8 December 2014.
  38. Rajan Samikannoo, Travel Report Summary: Updating UPEN Pahang on the Progress of the PA Financing Project. Kuantan Pahang, 14-15 October 2014.
  39. Shahrul K.K., Justine Vaz and Muthusamy Suppiah. Travel Report Summary: Meeting with Johor State Government representative and to Discuss the Placement of UNDP Appointed State Coordinator. UPEN Johor, Kota Iskandar, Johor. 23-24 April 2014.
  40. Shahrul K.K., Justine Vaz and Muthusamy Suppiah. Travel Report Summary: Meeting With Pahang State Government Representative and to Discuss The Placement Of UNDP Appointed State Coordinator. BPEN Kuantan, Pahang. 10-11 April 2014.
  41. Shahrul K.K., Justine Vaz and Muthusamy Suppiah. Travel Report Summary: Meeting With Perak State Government Representatives And Perak State Park Corporation Manager. Gerik, Perak, 8-9 April 2014.
  42. Shahrul K.K., Justine Vaz and Muthusamy Suppiah. Travel Report Summary: preparation for the 1st National Protected Area Managers' Conference (PMAC). Mutiara Taman Negara. 18-19 May 2014.
  43. Shahrul K.K., Justine Vaz and Muthusamy Suppiah. Travel Report Summary: 1st National Protected Area Managers' Conference. Mutiara Taman Negara, 9-13 June 2014.
  44. PA Financing Project Team. Travel Report Summary: Meeting with Nature Photographer, Blogger. Georgetown Penang, 11 March 2014.
  45. PA Financing Project Team. Travel Report Summary: Meeting With Sabah Parks Head Office, Staff Of Kinabalu Park And KK Wetlands. Kota Kinabalu, Sabah. 10-13 February 2014.
  46. PA Financing Project Team. Travel Report Summary: Conducting A Video And Photo Shoot. Kuala Tahan, 25-27 March 2014.
  47. Gan Pek Chuan. Travel Report Summary: Speak On Sustainable Financing For Protected Area Management At The First National Protected Area Managers' Conference 2014, Taman Negara Pahang. 10-13 June 2014.
  48. PA Financing Project Team. Travel Report Summary: Assessing and Identifying the Communication Gaps, Kuala Tahan, Taman Negara, 24-25 February 2014.
  49. PA Financing Project Team. Mission Report: Joint Seminar and Working Visit between Department of Wildlife and National Parks (DWNP) Malaysia and Smithsonian Conservation Biology Institute (SCBI), Washington, USA 4 – 15 October 2014.
  50. PA Financing Project Team. Enhancing Effectiveness and Financial Sustainability of Protected Areas in Malaysia: Visit to Sarawak, 7-12 August 2014
  51. PA Financing Project Team. Travel Report Summary: An Overview of Sarawak Protected Area's System. Kuching, Miri and Mulu Sarawak. 7-12 August 2014.
-

52. Chin Shin Yun. Travel Report Summary: PA Financing Project Component 2 Planning Meeting. Kuantan Pahang. 17-18 December 2014.
  53. Muthusamy Suppiah, Justine Vaz and Sharul K.K. Mission Report: METT, Financial Sustainability and Capacity Development Scorecards Training Workshop, and Assessment Exercise for Perak PA Network. Lumut Perak, 8-11 March 2015.
  54. Muthusamy Suppiah, Justine Vaz and Sharul K.K. Mission Report: METT, Financial Sustainability and Capacity Development Scorecards Review Workshop with Perak State Parks Corporation. Casuarina Meru, Ipoh Perak. 27-29 May 2015.
  55. Justine Vaz. Mission Report: Visit to Royal Belum State Park in connection with Consultancy to Develop Trail Map/brochure for Royal Belum State Park. Royal Belum, Perak. 26-28 May 2015.
  56. Chin Sing Yun. Travel Report Summary: Recce and preliminary assessment to Endau-Rompin Johor National Park , Peta Entrance. Endau-Rompin, Perak. 27-28 April 2015.
  57. Muthusamy Suppiah and Justine Vaz. Mission Report: Editorial Workshop to Review Contents of the draft Visitors' Guide to Taman Negara. Lexis Port Dickson, Negeri Sembilan, 10-12 January 2016.
  58. Gan Pek Chuan and Laura W.Y Lee. Mission Report: Stakeholder Consultations on CATS (Conservation Assured Tiger Standards). Royal Belum Rainforest, Perak. 26-28 January 2016.
  59. Muthusamy Suppiah. Mission Report: Consultation with Sabah Parks and Sabah Wildlife Department on National Framework for PAs and further support by PA Financing Project to Sabah Agencies. Kota Kinabalu, Sabah. 21-23 March 2016.
  60. PA Financing Project Team. Mission Report: Stakeholder Consultations on CATS. Belum Rainforest Resort, Pulau Banding, Perak. 26 January 2016.
  61. Justine Vaz. Mission Report: Conducting Community Consultation With Kuala Tahan Villages Of Kg. Pagi, Kg. Gol Towards Developing Community Engagement. Kg Terboi, Kuala Tahan, Pahang. 26-27 January 2017.
  62. Justine Vaz. Mission Report: Conduct Community Consultation With Villagers From Kg. Aman Damai And Kg. Sungai Tiang Together With PSPC Staff And State Project Coordinator. Royal Belum, Gerik and Taiping Perak. 16-18 January 2017.
  63. 1st PMU Meeting Minutes. 6th August 2013. 10am- 1pm.
  64. 2nd PMU Meeting Minutes. 11th September 2013. 10am-1pm.
  65. 3rd PMU Meeting Minutes. 11th October 2013. 10am-12pm.
  66. 4th PMU Meeting Minutes. 25th November 2013. 2.30pm.
  67. 5th PMU Meeting Minutes. 18th December 2013. 9.30am.
  68. 6th PMU Meeting Minutes, 20th January 2014. 9.30am.
  69. 7th PMU Meeting Minutes, 7th March 2014. 10.00am.
  70. 8th PMU Meeting Minutes, 4th April 2014. 10.00am.
  71. 9th PMU Meeting Minutes, 9th May 2014. 10.00am.
-

72. 10th PMU Meeting Minutes v, 27th June 2014. 10.00am.
  73. 11th PMU Meeting Minutes, 21st August 2014. 9.30am.
  74. 12th PMU Meeting Minutes, 25th September 2014. 9.30am
  75. 13th PMU Meeting Minutes, 15th December 2014. 10.30am.
  76. 14th PMU Meeting Minutes, 16 February 2015. 2.30pm.
  77. 15th PMU Meeting Minutes, 2nd April 2015. 9.30am.
  78. 16th PMU Meeting Minutes, 2nd June 2015, 9.30am.
  79. 17th PMU Meeting Minutes, 13th October 2015. 10.30am – 4.30pm.
  80. 18th PMU Meeting Minutes, 7th December 2015. 9.30am – 5.30pm.
  81. 19th PMU Meeting Minutes, 27th January 2016. 9.00am – 5.00pm.
  82. 20th PMU Meeting Minutes, 14th March 2016. 9.00am – 1.00pm.
  83. 21st PMU Meeting Minutes, 30th May 2016. 10.00am – 12.30pm.
  84. 22nd PMU Meeting Minutes, 22nd July 2016. 10.00am – 12.30pm.
  85. 23rd PMU Meeting Minutes, 16th August 2016. 10.00am – 12.30pm.
  86. 24th PMU Meeting Minutes, 17th October 2016. 9.00am – 5.00pm.
  87. 25th PMU Meeting Minutes, 12th January 2017. 2.30pm – 5.00pm.
  88. 1st Minutes of Meeting for National Steering Committee (NSC) On UNDP-GEF Project: Enhancing Effectiveness and Financial Sustainability Of Protected Areas In Malaysia. 19 September 2012, 4.00pm.
  89. 2nd Minute of Meeting for National Steering Committee (NSC) on Project: Enhancing Effectiveness and Financial Sustainability Of Protected Areas In Malaysia. 20 September 2013. 9.30am.
  90. 3rd Minute of Meeting for National Steering Committee (NSC) on Project: Enhancing Effectiveness and Financial Sustainability of Protected Areas in Malaysia. 6 May 2014. 2.30pm.
  91. 4th Minute of Meeting for National Steering Committee (NSC) on Project: Enhancing Effectiveness and Financial Sustainability of Protected Areas in Malaysia. 3 November 2014. 2.30pm.
  92. 5th Minute of Meeting for National Steering Committee (NSC) on Project: Enhancing Effectiveness and Financial Sustainability of Protected Areas in Malaysia. 6 May 2015. 2.30pm.
  93. 6th Minute of Meeting for National Steering Committee (NSC) on Project: Enhancing Effectiveness and Financial Sustainability of Protected Areas in Malaysia. 4 April 2016. 9.00am.
  94. 7th Minute of Meeting for National Steering Committee (NSC) on Project: Enhancing Effectiveness and Financial Sustainability of Protected Areas in Malaysia. 2nd November 2016. 9.00am.
  95. UNDP-Malaysia. 2008-2012. Project Document: Enhancing Effectiveness and Financial Sustainability of Protected Areas in Malaysia.
-



96. Gan Pek Chuan. Travel Report Summary: Supporting Project Inception Phase & Field Visit, Gerik, Pulau Banding and Ipoh. 5 -7 February 2013.
  97. Gan Pek Chaun. Travel Report Summary. Supporting Project Inception Phase. Johor Bahru. 4 – 5 March 2013.
  98. PA Financing Project Team. Travel Report Summary: Assessing and Identifying the Communication Gaps and Needs of Taman Negara. Kuala Tahan, Taman Negara. 24-25 February 2014.
  99. PA Financing Project Team. Travel Report Summary: Meeting with Sabah Parks Head Office, Staff of Kinabalu Park and KK Wetlands. 10 – 13 February 2014.
  100. PA Financing Project Team. Travel Report Summary: Meeting with Sarawak Forest Department. Kuching, Miri and Mulu NP Sarawak. 7-12 August 2014.
  101. Chin Sing Yun. Travel Report Summary: Recce And Preliminary Assessment To Endau-Rompin Johor National Park , Peta Entrance. Endau-Rompin, Perak. 27-28 April 2015.
  102. Justine Vaz. Travel Report Summary: Visit to Royal Belum State Park in connection with consultancy to develop Trail Map/brochure for Royal Belum State Park. 26-28 May 2015.
  103. Muthusamy Suppiah. Travel Report Summary: Consultations with Relevant Sabah Agencies, Kota Kinabalu, Sabah. 21-23 March 2016.
  104. Management Effectiveness Tracking Tools (METT) Assessment and Scorecard Review 2015. Financial Sustainability and Capacity Development Scorecards for Taman Negara National Park, Royal Belum State Park, and Endau Rompin National Park, and their Respective PA Agencies. August 2015.
  105. Spreadsheet data ‘Tracking Tool for Biodiversity Projects in GEF-3, GEF-4, and GEF-5’ for 2012.
  106. Spreadsheet data ‘Tracking Tool for Biodiversity Projects in GEF-3, GEF-4, and GEF-5’ for 2016.
  107. Government of Malaysia-United Nations Development Programme Annual Progress Report 2014. Approved by Dr Sivananthan T. Elagupillay, Director of Ex-Situ Conservation Division PERHILITAN.
  108. Government of Malaysia-United Nations Development Programme Annual Progress Report 2015. Approved by Mr Mohd Taufik Abdul Rahman, Director of Ex-Situ Conservation Division PERHILITAN and National Project Director for the PA Financing Project.
  109. Government of Malaysia-United Nations Development Programme Annual Progress Report 2016. Approved by Mr Mohd Taufik Abdul Rahman, Director of Ex-Situ Conservation Division PERHILITAN and National Project Director for the PA Financing Project.
  110. Government of Malaysia-United Nations Development Programme Mid-Year Progress Report 2013 for Enhancing the Effectiveness and Financial Sustainability of Protected Areas in Malaysia. 30 June 2013.
  111. Government of Malaysia-United Nations Development Programme Mid-Year Progress Report 2014 for Enhancing the Effectiveness and Financial Sustainability of Protected Areas in Malaysia. 30 June 2014.
  112. Government of Malaysia-United Nations Development Programme Mid-Year Progress Report 2015 for Enhancing the Effectiveness and Financial Sustainability of Protected Areas in Malaysia. 30 June 2015.
  113. Government of Malaysia-United Nations Development Programme Mid-Year Progress Report 2016 for Enhancing the Effectiveness and Financial Sustainability of Protected Areas in Malaysia. 26 July 2016.
  114. Government of Malaysia-United Nations Development Programme. 2013 Annual Project Review (APR):
-

Project Implementation Review of UNDP Supported GEF Financed Projects.

115. Government of Malaysia-United Nations Development Programme. 2014 Annual Project Review (APR): Project Implementation Review of UNDP Supported GEF Financed Projects.

116. Government of Malaysia-United Nations Development Programme. 2015 Annual Project Review (APR): Project Implementation Review of UNDP Supported GEF Financed Projects.

117. Government of Malaysia-United Nations Development Programme. 2016 Annual Project Review (APR): Project Implementation Review of UNDP Supported GEF Financed Projects.

118. Report of the Auditor General on Project ID No. 00066114 / 00082355 PIMS 3967 Enhancing Effectiveness and Financial Sustainability in Protected Areas for Malaysia for the Year Ended 31 December 2014. 26 May 2015.

119. Implementation and Monitoring Stage Quality Assurance (for Activity) Report. 28 December 2016.

120. UNDP HACT Micro Assessment of the Department of Wildlife and National Parks by Moore Stephens LLP Chartered Accountants. 5 July 2016.

121. UNDP Combined Delivery Report by Activity January-December 2012.

122. UNDP Combined Delivery Report by Activity January-December 2013

123. UNDP Combined Delivery Report by Activity January-December 2014.

124. UNDP Combined Delivery Report by Activity January-December 2015.

125. UNDP Combined Delivery Report by Activity January-December 2016.

126. UNDP Combined Delivery Report by Activity January-June 2017.

127. Spreadsheet data Co-financing Department of Wildlife and National Park 2016.

128. Spreadsheet data Co-financing Johor 2016.

129. Spreadsheet data Co-financing Perak 2016.

130. UNDP Combined Delivery Report by Project January-December 2012.

131. UNDP Combined Delivery Report by Project January-December 2013.

132. UNDP Combined Delivery Report by Project January-December 2014.

133. UNDP Combined Delivery Report by Project January-December 2015.

134. UNDP Combined Delivery Report by Project January-December 2016.

135. Equipment Specification for Computer – ArcGIS Desktop System Requirements

136. Equipment Specification for Computer – Dell Desktop Requirements.

137. Equipment specification for Computer – Internal Memo dated October 2015 from Abdul Kadir Abu Hashim to the Director General of PERHILITAN titled ‘Addition Request for the Training on Effective Protected Areas and Wildlife Management Session 2015’.

---

138. Equipment specification for Computer and Software – E-Mail Correspondence from Azhari Wahab to PERHILITAN Staff on Evaluation Meeting for the Procurement of Computer and ArcGIS. 30 August 2016.
  139. Equipment specification for Camera – Lumix Digital Camera DMC-LX7
  140. Equipment specification for Laptops – Evaluation Summary of Vendors Who Sent in Their Quotations.
  141. Equipment specification for Total Station – Internal Memo Dated 3 September 2015 from Director of Protected Area Division to the Deputy Director General 1 Regarding the Procurement of Total Station Accessories.
  142. Letters of Appointment – Letter dated 13 August 2015 from Mr Mohd Taufik Abdul Rahman to Mrs Harinder Kaur Gill Regarding Editorial Service Offer to Print the Proceedings of the 1st National Protected Areas.
  143. Letters of Appointment – Letter dated 14 November 2016 from Mr Mohd Taufik Abdul Rahman to Percetakan Imprint Sdn Bhd. Regarding the Printing of Taman Negara: A Guide to the Park.
  144. Letters of Appointment – Letter dated 6 May 2015 from Mr Mohd Taufik Abdul Rahman to Ms Sumei Toh Regarding the Preparation of Map/Brochure for the Royal Belum State Park and Endau-Rompin National Park.
  145. Project Procurement – Terms of Reference for Conservation Finance Consultant.
  146. Project Procurement – Terms of Reference for the Proposal to Develop Strategies and Action Plans to Implement the Government's Transformation Plan for IBD: Restructuring IBD into a National Institute for Protected Areas and Wildlife Management.
  147. Project Procurement – Request for Proposal: Development of Protected Area Management and Business Plans for Taman Negara National Park, Royal Belum State Park and Endau-Rompin National Park.
  148. Project Procurement – Terms of Reference for Mid-Term Review Lead Consultant.
  149. Project Procurement – Terms of Reference for Mid-Term Review National Protected Area Specialist.
  150. Project Procurement – Terms of Reference for Mid-Term Review Social Scientist.
  151. Project Procurement – Terms of Reference for Protected Area National Framework.
  152. Project Procurement – Terms of Reference to Conduct a Study on the Economics of Ecosystem and Biodiversity (TEEB) for the Three Target Sites.
  153. Eleventh Malaysia Plan Project ‘Strengthening Management and Conservation of Protected Area in Johor’. (i) Project Brief; (ii) Border Determination for Endau Rompin National Park; and (iii) Project Spreadsheet.
  154. State Government of Johor. 1989. State Park Enactment (Johor).
  155. NRE, WWF, DANIDA. 2013. The Interim Master List of Protected Areas in Malaysia – A Tool for National Biodiversity Conservation, Management, and Planning. Ministry of Natural Resources and Environment, World Wildlife Fund and Danish International Assistance; Kuala Lumpur.
  156. NRE. 2016. National Policy on Biological Diversity 2016-2025. Ministry of Natural Resources and Environment; Kuala Lumpur.
  157. List of Projects Approved for the National Conservation Trust Fund in Phase 1.
  158. PA Financing Project. 2015. Draft Operating Guidelines of the National Conservation Trust Fund. 23 February 2015.
-

159. Breakdown of revenue data for the Endau Rompin National Park.
160. Project Component 1 Output – Final Draft Interim PA Masterlist Report 2014.
161. Project Component 1 Output – 1st National PA Framework Meeting March 2016 (Detail Workplan 15 February 2016; Consultative Meeting Report Version 3, 7 April 2016; and Workshop Agenda).
162. Project Component 1 Output – 2nd National PA Framework Meeting March 2016 (Summary Report on Second Consultative Workshop, 30 June 2016; Workshop Attendance List).
163. Project Component 1 Output – 3rd National PA Framework Meeting June 2016 (Invitation Letter; Summary Report on Third Consultative Workshop 14-16 November 2016; Workshop Programme and Attendance List).
164. Project Component 1 Output – National PA Framework Draft 1 March 2017. Prepared by Dr Sivananthan T. Elagupillay.
165. Project Component 1 Output – National Framework on Protected Areas Draft National Classification Version 18 May 2016. Prepared by Dr Sivananthan T. Elagupillay.
166. Project Component 1 Output – National Framework for Protected Areas System in Malaysia (Draft Standardized Set of National PA Categories/Classification based on Regional and Global Adopted Criteria and Classification, 17 May 2016). Prepared by Dr Sivananthan T. Elagupillay.
167. Project Component 1 Output – National Framework for Protected Areas System in Malaysia: Final Gap Analysis Report. 4 April 2016. Prepared by Dr Sivananthan T. Elagupillay.
168. Project Component 1 Output – Strategy Paper on Conservation Trust Fund: Stock Taking, Review and Draft Strategy. 13 May 2014.
169. Project Component 1 Output – Updated and Revised Protected Area Master List. Progress Report for UNDP Malaysia. 31 March 2017. Prepared by Surin Suksuwan.
170. Project Component 1 Output – Initial Assessment and Scoping Report for the Study on the Economics of Ecosystems and Biodiversity (TEEB) in Malaysia. 22 April 2016.
171. Project Component 2 Output – Travel Summary Report for the Lab to Strengthen the Institute of Biodiversity. 16-19 July 2014.
172. Project Component 2 Output – Milestone and Work Plan for the Transformation of Institute of Biodiversity 2014/2015.
173. Project Component 2 Output – IBD Transformation Workshop July 2014 (Agenda, Functional Organogram, IBD Mini Lab Mission Report, Thrust II of NRE Strategic Plan, IBD Staffing Spreadsheet, Transformation of IBD).
174. Project Component 2 Output – Technical Working Group IBD Transformation Meeting, September 2014 (Meeting Notes, Scope of Work).
175. Project Component 2 Output – Workshop on IBD Transformation October 2014 (Mission Report, Invitation Letter, Powerpoint Slides).
176. Project Component 2 Output – Workshop on EPAWM Module, February 2015 (Brief, Cluster Training Full Modules, Cluster, IBD Mission Report, Protected Area Staff Training, Workshop Programme).
177. Project Component 2 Output – Workshop Report for EPAWM in Malacca, May 2015.
-

178. Project Component 2 Output – EPAWM 2015 (Brief, Cluster Training Full Modules, Schedule and Secretariat, Lecturer and Rates, Logistical Documents).

179. Project Component 2 Output – Workshop on EPAWM Postmortem, March 2016 (Mission Report; Minutes, Programme Schedule).

180. Project Component 2 Output – Workshop on EPAWM Refinement, June 2016 (Mission Report, Modules and Topics, Workshop Report).

181. Project Component 2 Output – EPAM 2016 (Booklet, Invitation, Logistical Notes, Participant List, Topics of Training, Concept Paper).

182. Project Component 2 Output – IBD Preliminary Discussion Travel Summary Report, March 2014.

183. Project Component 2 Output – Minutes of Technical Working Group on IBD Transformation Meetings (March 2015, April 2015, June 2015, July 2015, August 2015).

184. Project Component 2 Output – Proceedings of the Protected Area Managers Conference, 10-13 June 2014 and 25-29 September 2016.

185. Project Component 3 Output – Demographic Data of Local Communities for Johor.

186. Project Component 3 Output – Assessment of the Enabling Frameworks in Relation to Revenue Options in the Business Plans for Taman Negara National Park, Royal Belum State Park and Endau-Rompin State Park. Final Draft. 30 December 2016.

187. Project Component 3 Output – Capacity Building and Training Needs Assessment Report. April 2017. Prepared by NEPCon.

188. Project Component 3 Output – Detailed Work Plan and Methodology. Prepared by NEPCon. 10 April 2015. Prepared by NEPCon.

189. Project Component 3 Output – Report on Stocktaking Exercise and Gap Analysis (Draft). 22 July 2015. Prepared by NEPCon.

190. Project Component 3 Output – Standard Template that Include Core Elements, Appropriate Approach, Preliminary M&E System, Timeline for Developing the Plans and Stakeholders’ Inputs. 11 September 2015. Prepared by NEPCon.

191. Project Component 3 Output – Final Draft of Financial Analysis Report. 16 January 2016. Prepared by NEPCon.

192. Project Component 3 Output – Draft Business Plans for Royal Belum State Park (December 2016) and Endau-Rompin (December 2016) and Taman Negara (June 2016). Prepared by NEPCon.

193. Project Component 3 Output – Final Business Plans for Royal Belum State Park (May 2017) and Endau-Rompin (May 2017) and Taman Negara (May 2017). Prepared by NEPCon.

194. Project Component 3 Output – Taman Negara Guide to National Park. September 2016.

195. Project Component 3 Output – Trail Maps for Taman Negara (final) and draft trail maps for Endau-Rompin and Belum.

196. Project Component 3 Output – Reports and Mission Reports (Stakeholder Consultation and State Meetings, Project Team Meeting and Retreat, Capacity Building, Focal and Non-Focal Site Visit, Project

---

Communication Visits).

197. Project Component 3 Output – Final Management Plans 2017-2026 for Royal Belum State Park (December 2016) and Endau-Rompin National Park (December 2016). Prepared by NEPCon.

198. Project Component 3 Output – Draft Final Management Plan of Taman Negara National Park. 2016-2025 (June 2016). Prepared by NEPCon.

199. Project Communication – Taman Negara Guidebook, Trail Maps, Taman Negara 75th Anniversary Videos, 2nd International PA Managers Conference, September 2016.

200. Government of Malaysia and UNDP. 2016. Country Programme Action Plan Between the Government of Malaysia and the United Nations Development Programme, 2016-2020.

## **II. Technical Publications**

201. Abdullah, S.A. and Hezri, A.A. (2008). ‘From Forest Landscape to Agricultural Landscape in the Developing Tropical Country of Malaysia: Pattern, Process, and Their Significance on Policy’, *Environmental Management*, 42: 907–917.

202. Abdullah, S.A., Yusof, A.M.M. and M.I.H. Reza. 2018 (in press). *Changing Landscape and Sustainability of Wildlife Protected Areas in Peninsular Malaysia*. UKM Press; Kuala Lumpur.

203. Aiken, S.R. 1994. Struggling to Save Malaysia's Endau-Rompin Rain Forest, 1972-92. *Environmental Conservation*. Vol.20(2): 157-162.

204. Aiken, S.R. and Leigh, C.H. (1985). ‘On the declining fauna of Peninsular Malaysia in the post-colonial period’, *Ambio*, 14: 15–22.

205. Jomo, K.S., Chang, Y.T., Khoo, K.J., et al. (2004), *Deforesting Malaysia. The political economy and social ecology of agricultural expansion and commercial logging*, New York: Zed Books.

206. Kathirithamby-Wells, J. (2005). *Nature and Nation: Forests and Development in Peninsular Malaysia*, Honolulu: University of Hawaii Press.

207. Kawanishi, K. and Sunquist, M. E. (2004). ‘Conservation status of tigers in a primary rainforest of Peninsular Malaysia’, *Biological Conservation*, 120: 333–348.

208. Schwabe, K.A., Carson R.T., DeShazo J.R., Potts, M.D., Reese, A.N. and J.R. Vincent. (2015). Creation of Malaysia's Royal Belum State Park: A Case Study of Conservation in a Developing Country. *Journal of Environment and Development*. Vol.24(1): 54-81.

209. Vincent, J.R., Carson, R.T., DeShazo, J.R., Schwabe, K.A., Ahmad, I., Siew, K.C., Chang, Y.T., and M.D. Potts. 2017 (in press). Tropical Countries May Be Willing to Pay More to Protect their Forests. *Proceedings of the National Academy of Sciences (PNAS)*. Vol.X: xx-xx.

210. Waldron, T., Mooers, A.O., Miller, D.C., Nibbelink, N., Redding, D., Kuhn, T.S., Roberts, J.T., and J.L. Gittleman. 2013. Targeting Global Conservation Funding to Limit Immediate Biodiversity Declines. *Proceedings of the National Academy of Sciences (PNAS)*. Vol.110(29): 12144-12148.

## **III. Government Policy Documents**

211. Malaysia. 2015. *The Eleventh Malaysia Plan, 2016-2020*. Government Printer; Kuala Lumpur.

---

212. Malaysia. 2008. A Common Vision on Biodiversity in Government and the Development Process: Reference Document for Planners, Decision-Makers, and Practitioners. Ministry of Natural Resources and Environment’ Putrajaya.

#### **IV. GEF and UNDP Guidance Documents**

213. GEF. August 2009. The ROTI handbook: Towards enhancing the impacts of environmental projects. Accessible at: <http://gefio.org/sites/default/files/ieo/ieo-documents/ops4-m02-roti.pdf>

214. UNDP-GEF Directorate. 2014. Project-Level Monitoring: Guidance for Conducting Mid-term Reviews of UNDP-Supported, GEF-Financed Projects.

## ANNEX B. REPRESENTATIVE QUESTIONS USED DURING STAKEHOLDER CONSULTATIONS AND INTERVIEWS

The matrix below presents a series of questions which are designed to guide the interview and consultation process for the Midterm Review of the PA Financing Project. The questions have been formulated with the intention of discovering the extent to which the project has made progress in achieving its stated objective and outcomes, according to the indicators which have been presented in the project Strategic Results Framework. The matrix is organized to reflect this purpose, with the majority of the questions being correlated to specific indicators and targets. Several additional general questions are also included, to allow for feedback about project administration and management, and to accommodate opinions from specific groups of stakeholders.

Indicator (or Topic)	Questions
<b>Objective: To establish a performance-based financing structure to support effective Protected Area (PA) system management in Peninsular Malaysia</b>	
Indicator 1: Increase in the Federal Government investment in PA management	<ul style="list-style-type: none"> <li>• Since the start of the project, has the operating budget for the three target PA networks increased? How much of the increase could be attributed to efforts under the project?</li> <li>• Is progress being made in institutionalizing permanent increases for PA management into the national budget (e.g., through inclusion in the Malaysia 5-year plan)?</li> <li>• What other strengths or weaknesses do you see with respect to the project's efforts to encourage greater financial commitment on the part of the Federal government, to improved PA management?</li> </ul>
Indicator 2: Financial sustainability scorecard for the 3 PA networks	<ul style="list-style-type: none"> <li>• Has the process of preparing the financial sustainability scorecards been a participatory and transparent one?</li> <li>• According to the financial sustainability scorecards, has financial sustainability for the 3 PA networks improved since the start of the project?</li> <li>• To what extent can any such improvements in financial sustainability be attributed to work done under the project?</li> </ul>
<b>Outcome 1: Systemic &amp; institutional capacities to manage and financially support a national PA System</b>	
Indicator 1: Establishment of the policy framework for the National PA system	<ul style="list-style-type: none"> <li>• What progress has been made in establishing a National PA Framework?</li> <li>• What problems, issues, or challenges need to be addressed, in order to ensure that such a framework can serve as an effective mechanism that can help to improve PA management?</li> </ul>
Indicator 2: Integrated PA information system; Integrated PA performance monitoring system	<ul style="list-style-type: none"> <li>• What progress has been made in establishing an integrated PA information system? For example: <ul style="list-style-type: none"> <li>• Has a website been set up?</li> <li>• Have academic, research, and other institutions been invited to participate in the integration process, and have strategic links been established with any such institutions?</li> <li>• Has a protocol been developed for acquiring, formatting, and sharing data?</li> <li>• Have arrangements been made to ensure that management of the information system will be supported into the future?</li> </ul> </li> <li>• Has progress been made to establish a framework for performance monitoring of PAs?</li> <li>• What are the requirements for setting up such a system?</li> </ul>



Indicator (or Topic)	Questions
Indicator 3: Financial incentive system, based primarily on performance indices, established and operational.	<ul style="list-style-type: none"> <li>• Has the rationale, purpose, definition, scope and impact of a performance based financing system been assessed and defined?</li> <li>• The establishment of a performance-based financing system is the project objective—so has this objective been integrated across all project components?</li> <li>• What issues and concerns remain that would enable a financial incentive system based on performance to be set up?</li> </ul>
Indicator 4: National PA System mainstreamed in the budgeting process for 5-year Malaysia Plan; increased number of “bankable” projects in support of PA management approved for funding through operational grants.	<ul style="list-style-type: none"> <li>• What specific activities have been supported by the project to promote mainstreaming of PA management into national budget mainstreaming? Specific activities might include: <ul style="list-style-type: none"> <li>▪ creating special budget lines for PA management</li> <li>▪ creating performance-based budgetary framework for PA funding</li> <li>▪ establishing a Conservation Trust Fund</li> <li>▪ conducting TEEB studies to recognize, capture and demonstrate the total economic value of PAs in order to support justification for increased investments in PAs</li> <li>▪ contributing to strategy papers for biodiversity conservation and environmental management</li> <li>▪ advocating for increased resources in PA conservation as part of the 11th Malaysia Plan budgetary process</li> </ul> </li> </ul>
<b>Outcome 2: Technical and institutional capacities to manage sub-national PA networks, including capacities for effective financial management</b>	
Indicator 1: Financing gap decreased by at least 25 % in the target PA sub-networks (PSPC, DWNP)	<ul style="list-style-type: none"> <li>• Since the start of the project, has the financing gap for the three target PA networks decreased? How much of the decrease could be attributed to project actions?</li> </ul>
Indicator 2: Increase in capacity development indicator score (%) for three target sub-national PA networks (DWNP, JNPC, PSPC)	<ul style="list-style-type: none"> <li>• Have capacity scores for the 3 PA networks improved, and if so, what has brought about the improvement?</li> <li>• Has the project contributed substantially to the improvement of capacity at the PA network level? Please provide some examples of how the project has strengthened capacity.</li> </ul>
Indicator 3: Number of PAs successfully meeting national management criteria and accessing performance-based financial transfers from the Federal system	<ul style="list-style-type: none"> <li>• Have national management criteria for performance-based financial transfers from federal to sub-national PA networks been established?</li> <li>• Has a performance-based monitoring system for the NCTF been established?</li> <li>• If these mechanisms are not yet in place, explain the problems which have prevented their implementation.</li> <li>• Have other initiatives been undertaken, with support from the project, to facilitate performance-based financial transfers from the national to the sub-national level?</li> </ul>
Indicator 4: Economic and financial planning capacity institutionalized in the three sub-national PA network agencies	<ul style="list-style-type: none"> <li>• What actions have been taken, under the project, to strengthen financial planning capacity?</li> <li>• Has the project helped to identify viable options to diversify funding sources for PAs? What project activities have been undertaken to achieve this?</li> <li>• If project accomplishments for financial capacity-building and diversification have fallen short of expectations, what problems have been encountered to cause this?</li> </ul>

Indicator (or Topic)	Questions
	<ul style="list-style-type: none"> <li>What additional steps could be taken, to help to institutionalize sustainable financing and options to diversify funding sources?</li> </ul>
Indicator 5: Coordination between the PA agencies	<ul style="list-style-type: none"> <li>Has the project helped to support improved coordination and information sharing among the three target PA agencies? If so, how?</li> <li>Are there opportunities to expand or replicate activities which were successful under the project, that helped to strengthen inter-agency coordination and information sharing?</li> </ul>
<b>Outcome 3: Effective site-level PA management</b>	
Indicator 1: Number of PAs with updated and approved management and business plans with implementation of it enabling the PAs to meet the national performance criteria required to access additional Federal funding	<ul style="list-style-type: none"> <li>Have management and business plans been prepared for the 3 PAs? How has the project supported this effort?</li> <li>What benefits would be expected to emerge as a result of having PA management plans and business plans in place?</li> <li>Are there opportunities to expand or replicate PA management planning and business planning, if these were successful under the project?</li> </ul>
Indicator 2: Improved management effectiveness as per METT scores for three target PAs.	<ul style="list-style-type: none"> <li>Have METT scores improved during the project implementation period thus far, for the 3 target PAs?</li> <li>Has the process of completing the METT been carried out in a participatory and transparent manner?</li> <li>Is the use of METT as a tool for monitoring and evaluation effective and sustainable?</li> </ul>
Indicator 3: Increase in gross revenue amount and revenue sources of the three demonstration PAs	<ul style="list-style-type: none"> <li>Have increases in gross revenue been recorded at the three target PAs, during the project implementation period thus far? If so, are these increases (wholly or partly) attributable to project interventions?</li> <li>Have revenue sources at the 3 target PAs been diversified? If so, is this diversification (wholly or partly) attributable to project interventions?</li> <li>What are the prospects for continued revenue increases and diversification in the future?</li> </ul>
Indicator 4: Length of park patrolled per year; Number of patrolling programmes per year; Percentage of the area patrolled per year; Number of patrolling staff; Number of illegal activity (including encroachment and poaching) cases within PA reported	<ul style="list-style-type: none"> <li>Have patrolling activities in the PAs intensified during the project implementation period thus far? If so, how has the project supported this?</li> <li>Are the improvements which have been made in enforcement activities sustainable? If so, what mechanisms have been put in place to promote sustainability?</li> </ul>
Indicator 5: Tiger population as a flagship species in target PAs namely Taman Negara, Endau-Rompin National Park and Royal Belum State Park	<ul style="list-style-type: none"> <li>Have tiger populations increased, remained stable, or decreased, during the project implementation period thus far?</li> <li>Have efforts to monitor tiger populations been supported (whether directly or indirectly) by the project?</li> </ul>
<b>Other Questions</b>	
Project Implementation and Adaptive Management	<ul style="list-style-type: none"> <li>Have changes in management arrangements been needed, due to changing conditions? If so, were necessary changes made, and were</li> </ul>

Indicator (or Topic)	Questions
	<p>they effective?</p> <ul style="list-style-type: none"> <li>• Has the DWNP been effective in guiding the implementation of the project?</li> <li>• Have the PSPC and JNPC been effective in the implementation of the project?</li> <li>• Has UNDP been effective in providing support for the project?</li> <li>• Were delays encountered in project start-up/implementation, disbursement of funds, or procurement?</li> <li>• Is work planning for the project (i.e., funds disbursement, scheduling, etc) effective and efficient?</li> <li>• Have changes been made to the project results framework?</li> <li>• Have co-financing partners been meeting their commitments to the project?</li> <li>• Are the project M&amp;E tools adequate to guide ongoing project management, and adaptive processes?</li> </ul>
Project Sustainability	<ul style="list-style-type: none"> <li>• Following conclusion of the project, what is the likelihood that adequate financial resources will be in place to sustain the project's outcomes?</li> <li>• Is it expected that, upon conclusion of the project, stakeholder ownership and community engagement will be sufficient to sustain the project's outcomes?</li> <li>• Has the project demonstrated adequate sensitivity to gender issues, to ensure project sustainability?</li> <li>• Are legal frameworks, policies, and institutional arrangements favourable for sustaining the project's outcomes following conclusion of the project?</li> <li>• Are there any environmental risks that could jeopardize the sustainability of the project's outcomes?</li> </ul>
Next Steps	<ul style="list-style-type: none"> <li>• What are the key lessons learned from the implementation of the project? Can they apply to existing relevant projects/programmes?</li> <li>• What are the remaining steps to complete the project outputs?</li> <li>• How will the outputs of the project be adopted into existing institutional and governance frameworks for PA management (site, state, national levels)?</li> <li>• How can the project further expand upon and replicate past successes?</li> </ul>
Overall Opinion	<ul style="list-style-type: none"> <li>• In you view as a <u>(choose appropriate category) member of a local/indigenous community; representative of civil society, NGO, or academia; manager or staff of a protected area; state or national government personnel; or (other-please specify):</u> <ul style="list-style-type: none"> <li>• Have you personally experienced positive changes or benefits as a result of the project?</li> <li>• What is the greatest accomplishment of the PA Financing Project thus far?</li> <li>• What are the greatest challenges still remaining, within the time given until project completion, for the project to achieve its stated purpose?</li> <li>• Please provide any additional comments or opinions you care to offer regarding the PA Financing Project.</li> </ul> </li> </ul>

## ANNEX C. AGENDA FOR STAKEHOLDER DIALOGUE SESSION (19 MAY 2017), AND CONCLUDING WORKSHOP (9 NOVEMBER 2017)



### MID-TERM REVIEW “ENHANCING EFFECTIVENESS AND FINANCIAL SUSTAINABILITY OF PROTECTED AREAS IN MALAYSIA” PROJECT

IMPLEMENTED BY DEPARTMENT OF WILDLIFE AND NATIONAL PARKS  
SUPPORTED BY UNDP WITH GEF GRANT FINANCING

#### Stakeholder Dialogue Session

Date: Friday, 19 May 2017  
Venue: Putrajaya Shangri-la Hotel

#### AGENDA

Time	Activity	Presenter
0830-0900	Registration	--
0900-0915	Welcome Remarks	Ms. Gan Pek Chuan, Programme Manager, Biodiversity and Sustainable Development, United Nations Development Programme (UNDP)  Mr. Mohamad Taufik Abd. Rahman, National Project Director and Director of Protected Area Division, Department of Wildlife and National Parks
0915-0930	PA Financing Project: Overview and Progress to Date	Mr. Muthusamy Suppiah, National Technical Adviser, PA Financing Project, UNDP
0920-0950	Purpose and Methods of the MTR; Activities of the MTR Team To-Date; and Purpose of the Stakeholder Dialogue	Mr. James T. Berdach, Lead Consultant/ Environmental Finance Specialist, MTR Team

Time	Activity	Presenter
0950-1010	TEA AND COFFEE BREAK	--
1010-1025	<b>Preliminary Findings:</b> <ul style="list-style-type: none"> <li>Project Design and Strategy</li> </ul>	Dr. Ahmad Hezri Adnan, Social Scientist, MTR Team
1025-1045	<b>Preliminary Findings:</b> <ul style="list-style-type: none"> <li>Project Implementation</li> <li>Adaptive Management</li> </ul>	Ms. Bee Hong Yeo, Protected Area Specialist, MTR Team
1045-1115	<b>Preliminary Findings:</b> <ul style="list-style-type: none"> <li>Project Successes/Early Indications of Progress Towards Achieving Intended Results</li> <li>Project Sustainability and Risks</li> <li>Recommendations</li> </ul>	Mr. James T. Berdach
1115-1215	Q&A / Discussion / Feedback / Requests for Further Information	Participants and MTR Team
1215-1230	Closing Remarks	Ms. Gan Pek Chuan
1230	Adjournment	--
1230-1430	LUNCH (with continuing informal discussions)	--



**MID-TERM REVIEW  
“ENHANCING EFFECTIVENESS AND FINANCIAL SUSTAINABILITY  
OF PROTECTED AREAS IN MALAYSIA” PROJECT**

**IMPLEMENTED BY DEPARTMENT OF WILDLIFE AND NATIONAL PARKS  
SUPPORTED BY UNDP WITH GEF GRANT FINANCING**

**CONCLUDING WORKSHOP**

DATE: THURSDAY, 9 NOVEMBER 2017

VENUE: ALOFT HOTEL, KL SENTRAL

**BACKGROUND**

The project titled “Enhancing Effectiveness and Financial Sustainability of Protected Areas in Malaysia” (PA Financing) began its implementation on 5 June 2012 and scheduled to end on 4 June 2018. In line with the UNDP-GEF Guidance on midterm reviews, all full-scale projects supported by UNDP with GEF grant financing above US\$ 2 million is required to undergo midterm review process with the following focus:

- Assessment of **progress** towards results
- Monitoring of **implementation** and **adaptive management** to improve outcomes
- Early identification of **risks to sustainability**
- Emphasis on **supportive recommendations**

The midterm review process for the PA Financing initiated in March 2017 with a comprehensive documentation review, which was then followed by a field mission where interviews/meetings with various stakeholders from government and non-government, and site visits to the three target protected areas (Taman Negara National Park, Endau-Rompin National Park and Royal Belum State Park) took place.

The purpose of this Midterm Review Concluding Workshop is to present the key findings and recommendations of the midterm review report, and discuss and validate the key actions that will be taken in response to the midterm review.

---

## AGENDA

Time	Activity	Presenter
08:30 – 09:00	Registration	--
<b>Introduction</b>		
09:00 – 09:15	Welcome Remarks	Ms. Gan Pek Chuan Programme Manager, Biodiversity and Sustainable Development, United Nations Development Programme (UNDP)  Mr. Mohamad Taufik Abd. Rahman National Project Director and Director of Protected Area Division, Department of Wildlife and National Parks
09:15 – 09:30	Mechanics and Focus of the Mid-Term Review; Purpose and Format of the Concluding Workshop	Mr. James T. Berdach Lead Consultant/ Environmental Finance Specialist, MTR Team
<b>MTR Key Findings and Ratings</b>		
09:30 – 09:45	<ul style="list-style-type: none"> <li>Project Objective: Establishing a performance-based financing system to support effective PA management</li> <li>Outcome 1: Building systemic and institutional capacities to manage a national PA system</li> </ul>	MTR Team
09:45 – 10:00	<ul style="list-style-type: none"> <li>Outcome 2: Building technical and institutional capacities to manage sub-national PA networks, including effective financial management</li> <li>Outcome 3: Achieving effective site-level PA management</li> </ul>	MTR Team
10:00 – 10:15	<ul style="list-style-type: none"> <li>Project Implementation and Adaptive Management</li> </ul>	MTR Team

Time	Activity	Presenter
	<ul style="list-style-type: none"> <li>Project Sustainability</li> <li>MTR Ratings</li> </ul>	
10:15 – 10:45	Coffee/tea break	
<b>Recommendations</b>		
10:45 – 11:30	<ul style="list-style-type: none"> <li>Recommendations</li> </ul>	MTR Team
11:30 – 12:30	Q&A / Discussion / Feedback	Participants and MTR Team
12:30 – 14:00	Lunch	
14:00 – 14:15	Proposed management response to MTR recommendations	Mr. Muthusamy Suppiah Project Manager, Biodiversity and Protected Area Finance PA Financing project
14:15 – 15:45	Breakout group discussion and presentation on the proposed management response	Participants, DWNP, UNDP and PA Financing project team
15:45 – 16:00	Next step and closing remark	Ms. Gan Pek Chuan Programme Manager, Biodiversity and Sustainable Development, United Nations Development Programme (UNDP)
16:00 – 16:30	Coffee/tea break	
16:30	End of workshop	



## ANNEX D. LIST OF PERSONS INTERVIEWED

Opening Meeting:  
Date: 5 May 2017, Friday  
Time: 9:30am – 1:00pm  
Venue: Perhilitan HQ

No	Name	Organisation	Title	Email
1.	Mohd Taufik Abd Rahman	Perhilitan HQ	National Project Director Head of Ecotourism Division	taufik@wildlife.gov.my
2.	Gan Pek Chuan	UNDP	Programme Manager	Pek.chuan.gan@undp.org
3.	Muthusamy Suppiah	PA Financing Office	National Technical Advisor	muthusamy.suppiah@undp.org
4.	Justine Vaz		Project Communication Officer	justine.vaz@undp.org
5.	Sharul Kassim		Project Assistant	sharul.kassim@undp.org
6.	Chin Sing Yun		Project Coordinator (Southern Region)	sing.yun.chin@undp.org
7.	Han Kwai Hin		Project Coordinator (Northern Region)	kwai.hin.han@undp.org
8.	Lee Siow Ling	UNDP	Environmental Assistant	siow.ling.lee@undp.org
9.	Nurshafenath Shaharuddin	UNDP	M&E Analyst	Nurshafenath.shaharuddin@undp.org
10.	Abdul Kadir Abu Hashim	Perhilitan HQ	Pengarah	kadir@wildlife.gov.my

---

Meeting with EPU, SEASSA

Date: 5 May 2017

Venue: Bilik Mesyuarat SEASSA, EPU

No	Name	Organisation	Title	Email
1.	Mohd Razif Haji Abd Mubin	EPU	National Project Director Head of Ecotourism Division	razif.mubin@epu.gov.my
2.	Safwan Rosidy Mohammed	EPU	Programme Manager	rosidy@epu.gov.my

Meeting with Johor Stakeholders

Date: 7 May 2017

Time: 9:am – 1130am

Venue: Bilik Mesyuarat Multimedia, UPEN Johor

No	Name	Organisation	Title	Email
1.	Gurpreet Singh	UPEN Johor	Environment Officer	<a href="mailto:gurpreet@johor.gov.my">gurpreet@johor.gov.my</a>
2.	En Jeffri bin Abd Rasid	Johor Forestry Department	Assistant Director	<a href="mailto:jeffri@forestry.gov.my">jeffri@forestry.gov.my</a>
3.	Zaiton binti Abdullah	Johor Forestry Department	Pen. Pengarah Hutan (Perancangan dan Pengurusan)	<a href="mailto:addinagistina@gmail.com">addinagistina@gmail.com</a>
4.	Azuan bin Mohd Sukri	Johor Forestry Department	Pen. Pengarah Hutan Lipur	<a href="mailto:azuansukri82@yahoo.com.my">azuansukri82@yahoo.com.my</a>
5.	Muhammad Khairi bin Ahmad	Johor Wildlife Department	Timbalan Pengarah	<a href="mailto:mkhairi@wildlife.gov.my">mkhairi@wildlife.gov.my</a>
6.	Francis Cheong	WCS	Assistant Director	<a href="mailto:fcheong@wcs.org">fcheong@wcs.org</a>

---

Meeting with JNPC

Date: 7 May 2017 (Sunday)

Venue: Bilik Mesyuarat Eksekutif, JNPC

No	Name	Organisation	Title	Email
1.	Siti Nur Azimah Binti Abdul Wahab	JNPC	Pengurus, Pentadbiran & Kewangan	<a href="mailto:snazimahwahab@gmail.com">snazimahwahab@gmail.com</a>
2.	Ilyas Bin Razak	JNPC	Pengurus, Dasar, Strategik & Penguatkuasaan	<a href="mailto:ilyasrazak84@gmail.com">ilyasrazak84@gmail.com</a>
3.	Khalid Bin Zahrom	JNPC	Pengurus, Pemasaran & Komunikasi	<a href="mailto:khalidzahrom@gmail.com">khalidzahrom@gmail.com</a>
4.	Rosmona Binti Musa	JNPC	Penolong Pengurus, Konservasi	<a href="mailto:rosmonamusa@gmail.com">rosmonamusa@gmail.com</a>
5.	Nor Sofa Radiah Binti Mohd Noor	JNPC	Penolong Akauntan	<a href="mailto:far_1005@yahoo.com">far_1005@yahoo.com</a>
6.	Herman Bin Riswan	JNPC	Pengurus, Taman Negara Johor E.R Peta	<a href="mailto:herman.nature@gmail.com">herman.nature@gmail.com</a>
7.	Muhammad Edika Bin Kamil	JNPC	Pengurus, Taman Negara Johor E.R Selai	<a href="mailto:edijmd128@gmail.com">edijmd128@gmail.com</a>
8.	Muhammad Shafiq Bin Mohammad	JNPC	Pengurus, Taman Negara Johor TLSI	<a href="mailto:mersing_johorpark@johor.com.my">mersing_johorpark@johor.com.my</a>
9.	Muazam Shah Bin Hambar	JNPC	Pen. Pengurus, Taman Negara Johor Gunung Ledang	<a href="mailto:muhaz65402@yahoo.com">muhaz65402@yahoo.com</a>
10.	Mohd Nazrin Bin Abdul Kadir	JNPC	Pembantu Penguatkuasaan	N/A

Meeting with Communities at Kampung Peta

Date: 7 May 2017

Venue: Dewan Serbaguna Kampung Peta

No	Name	Organisation	Title	Email
1.	Boing, (Ahmad)	Orang asli	Ketua Kampung	N/A
2.	Oh-Oh			
3.	Mak mei			
4.	Ipong			
5.	Rahim (Pak Burn)			
6.	Tim			
7.	Babuna			
8.	Jokol			
9.	Mak Memeng			
10.	Putu			
11.	Mak Lola			
12.	Rado			
13.	Ituk			
14.	Jelu			
15.	Abang Misha			
16.	Burn			
17.	Nasir			

---

Meeting with Perak Stakeholders

Date: 9 May 2017

Venue: Bilik Mesyuarat UPEN Perak

No	Name	Organisation	Title	Email
1.	Pua Kian Sien	UPEN Perak	Ketua Penolong Pengarah	<a href="mailto:kspua@perak.gov.my">kspua@perak.gov.my</a>
2.	Noor Asmah Mohd Nawawi	PSPC	Acting General Manager	<a href="mailto:taman_negeri@yahoo.com.my">taman_negeri@yahoo.com.my</a>
3.	Noor Ilyani Abd Rani	PSPC	Pegawai Tadbir	<a href="mailto:ninie_ilyani@yahoo.com.my">ninie_ilyani@yahoo.com.my</a>
4.	Dr. Mark Rayan	WWF Malaysia	Tiger Landscape Lead	<a href="mailto:mdarmaraj@wwf.org.my">mdarmaraj@wwf.org.my</a>
5.	Rozita binti Aminuddin	Pejabat Kewangan Negeri Perak	Ketua Penolong Pengarah Kewangan Negeri	<a href="mailto:Rozita.aminuddin@perak.gov.my">Rozita.aminuddin@perak.gov.my</a>
6.	Yeap Chin Aik	MNS	Senior Conservation Officer	<a href="mailto:hornbills@mns.org.my">hornbills@mns.org.my</a>
7.	Wan Shaharudin	DWNP Perak	Ketua Penolong Pengarah	<a href="mailto:wan@wildlife.gov.my">wan@wildlife.gov.my</a>
8.	Muhammad Ezhar	Perak Forestry	Penolong Pengarah	<a href="mailto:ezhar@forestry.gov.my">ezhar@forestry.gov.my</a>
9.	Norzanita Siti Muhammad Mukhtar	UPEN Perak	Penolong Pengarah	<a href="mailto:zanita@perak.gov.my">zanita@perak.gov.my</a>

---

Meeting with Orang Asli Communities at Kampung Aman Damai dan Kampung Sungai Tiang

Date: 10 May 2017

Venue: Dewan

No	Name	Organisation	Title	Email
Kampung Aman Damai				
1.	Ibrahim	Orang Asli	Ketua Kampung	
2.	Sabadi	Orang Asli		019-258 3602
3.	Zul	Orang Asli		
Kampung Sungai Tiang				
1.	Ah Long			
2.	Hamid			
3.	Ah Chong			
4.	Adut			
5.	Mamak			
6.	Ah Sot			
7.	Tony			
8.	Ralat			
9.	Jimi			
10.	Ah Bi			
11.	Rahman			
12.	Baharuddin			
13.	Pak Cik Op			
14.	Khairuddin			

---

Meeting with Local communities and Wildlife Department at Merapoh, Taman Negara

Date: 11 May 2017

Venue: Wildlife Department Merapoh Meeting Room

No	Name	Organisation	Title	Email
1	Fauziana Mohd Telmizai	SGL Outdoor Merapoh Travel Sdn Bhd	Penolong Pengarah	<a href="mailto:sgioutdoor1675@gmail.com">sgioutdoor1675@gmail.com</a>
2.	Jaya Indara b. Hashim	Guide Kuala Tahan	Pengarah	<a href="mailto:merapohadventure@gmail.com">merapohadventure@gmail.com</a>
3.	Khairunizam Abd Rashid	Merapoh Adventure		
4.	Nazaruddin Samai	Guide		
5.	Mohd Faizal bin Ishak	Guide		
6.	Mohammad Syukrie bin Daud	Guide	Pen. Pegawai Hidupan Liar	<a href="mailto:amagsyukrie11@gmail.com">amagsyukrie11@gmail.com</a>
7.	Muhamad Hafizi Iiminuddin bin Zulkapli	Guide		<a href="mailto:pjiilmi74@gmail.com">pjiilmi74@gmail.com</a>
8.	Mohd Zakimi bin Yunus	DWNP Taman Negara Merapoh		<a href="mailto:zakimi@wildlife.gov.my">zakimi@wildlife.gov.my</a>
9.	Mohd Bassir bin Abdullah	DWNP Taman Negara Merapoh		<a href="mailto:mbassir@wildlife.gov.my">mbassir@wildlife.gov.my</a>
10.	Mohd Azahar bin Ismail	Guide	Pengarah	<a href="mailto:r.adventure@gmail.com">r.adventure@gmail.com</a> <a href="mailto:Fairulazuan56@gmail.com">Fairulazuan56@gmail.com</a>
11.	Afendi bin Mohamed	Relau Agency		
12.	Roslan bin Abdullah	Relau Agency		
13.	M. Fairul Azuan bin Roslan	Relau Agency		
14.	Muhammad Rosni Mamat	Guide		
15.	Mohd. Zulkifli bin Daud	Guide		
16.	Saberi bin Zoo	Guide		

Meeting with Local communities and Wildlife Department at Kuala Tahan, Taman Negara

Date: 12 May 2017

Venue: Wildlife Department Park Centre Meeting Room, Kuala Tahan

No	Name	Organisation	Title	Email
1	Dzumie Heriman Mohd Nor	DWNP Taman Negara Kuala Tahan	Deputy Superintendant	<a href="mailto:dzumie@wildlife.gov.my">dzumie@wildlife.gov.my</a>
2.	Safie bi Mat Yasin	DWNP Taman Negara Kuala Tahan	Assistant Officer	<a href="mailto:safie@wildlife.gov.my">safie@wildlife.gov.my</a>
3.	Nurul Nuzairi Mohd Azahari	Mutiara Taman Negara Resort	General Manager	

Meeting with Local communities and Wildlife Department at Kuala Tahan, Taman Negara

Date: 12 May 2017

Venue: Wildlife Department Park Centre Meeting Room, Kuala Tahan

No	Name	Organisation	Title	Email
1	Anwarudin Razali	Local communities	Guide	
2.	Norfatihah Nordin		Guide	<a href="mailto:shin_bey92@yahoo.com">shin_bey92@yahoo.com</a>
3.	Nor Hayati Baharum		Guide	<a href="mailto:Achik92hayati@gmail.com">Achik92hayati@gmail.com</a>
4.	Nur Akmalah Khadzir		Guide	<a href="mailto:angahkechik1@gmail.com">angahkechik1@gmail.com</a>
5.	Mohd Faizal bin Othman		Boatman	<a href="mailto:MLanggar@yahoo.com">MLanggar@yahoo.com</a>
6.	Mohamad Anas bin Zainudin		Guide	<a href="mailto:tn.natureoutdoor@gmail.com">tn.natureoutdoor@gmail.com</a>
7.	Zalizan bin Shim		Guide	<a href="mailto:Kerek.natureguide@gmail.com">Kerek.natureguide@gmail.com</a>
8.	Abdul Jalil Rahman		Bird Guide Taman Negara	<a href="mailto:birdlife.tamanegara@gmail.com">birdlife.tamanegara@gmail.com</a>
9.	Roslan Abu Kassim		Bird Guide Taman	<a href="mailto:roslanjungleman64@gmail.com">roslanjungleman64@gmail.com</a>

---



Negara

Meeting with DWNP Staff supported by capacity building initiatives of the Project

Date: 15 May 2017

Venue: DWNP HQ

No.	Name	Organisation	Title	Email
1.	Pn Norizan Mohd Mazlan	WWF	Ketua Konservasi Semenanjung Malaysia	<a href="mailto:nmazlan@wwf.org.my">nmazlan@wwf.org.my</a>
2.	I.S. Shanmugaraj	MNS	Executive Director	<a href="mailto:director@mns.org.my">director@mns.org.my</a>
3.	Dato Dr. Abdul Rashid bin Ab Malik	Pulau Banding Foundation	CEO	<a href="mailto:info@pbf.org.my">info@pbf.org.my</a>
4.	Zulfadhlan Bin Ahmad Khushairi	Pulau Banding Foundation	Research Centre Admin	<a href="mailto:fadhlankhushairi@gmail.com">fadhlankhushairi@gmail.com</a>
5.	Francis Cheong	WCS	Assistant Director	<a href="mailto:fcheong@wcs.org">fcheong@wcs.org</a>

Meeting with DWNP Staff supported by capacity building initiatives of the Project

Date: 15 May 2017

Venue: DWNP HQ

No.	Name	Organisation	Title	Email
1.	Hazril Rafhan	IBD	Senior Wildlife Officer	<a href="mailto:hazril@wildlife.gov.my">hazril@wildlife.gov.my</a>
2.	Ishak bin Muhammad		Director	<a href="mailto:ishak@wildlife.gov.my">ishak@wildlife.gov.my</a>
3.	Muhammad Azizi		Asst. Director for Ecotourism Division	<a href="mailto:mazizi@wildlife.gov.my">mazizi@wildlife.gov.my</a>
4.	Che Ku Mohd Zamzuri bin Chik Wan Abd Rahman		Wildlife Officer	<a href="mailto:zamzuri@wildlife.gov.my">zamzuri@wildlife.gov.my</a>
5.	Nosrat Ravichandran	Krau Wildlife Sanctuary	Director, Consultancy Division (Alternate to NPD)	<a href="mailto:nosrat@wildlife.gov.my">nosrat@wildlife.gov.my</a>
6.	Mohd Azuan bin		Director	<a href="mailto:azuan@wildlife.gov.my">azuan@wildlife.gov.my</a>

Working Dinner with Management Plan Consultant

Date: 15 May 2017

Venue: Pappa Rich, Nu Sentral

No.	Name	Organisation	Title	Email
1.	Christian Schriver	NEPCon	Management Plan Lead Consultant	<a href="mailto:csc@nepcon.org">csc@nepcon.org</a>

---

Meeting with East Coast Stakeholders (by Dr. Ahmad Hezri Adnan)

Date: 16 May 2017

Venue: Wildlife Department of Terengganu

No	Name	Organisation	Title	Email
1	Mohd Zulfadli bin Zainor	Perhilitan Terengganu	Timbalan Pengarah	<a href="mailto:mzulfadli@wildlife.gov.my">mzulfadli@wildlife.gov.my</a>
2.	Mohd Khairul Zaman bin Mukhtar	Perhilitan Kelantan	TN Timbalan Penguasa	<a href="mailto:khairulz@wildlife.gov.my">khairulz@wildlife.gov.my</a>
3.	Rofley Ambuka	Perhilitan Terengganu	TN Penolong penguasa	<a href="mailto:rofley@wildlife.gov.my">rofley@wildlife.gov.my</a>
4.	Mohd Zakimi bin Md Yunus	Perhilitan Pahang	TN Penolong Pengarah	<a href="mailto:zakimi@wildlife.gov.my">zakimi@wildlife.gov.my</a>
5.	Mohd Fadli bin Jusoh	UPEN Terengganu	Penolong Pengarah	<a href="mailto:fadhlijusoh@terengganu.gov.my">fadhlijusoh@terengganu.gov.my</a>

Meeting with Project Consultants (by Dr. Ahmad Hezri Adnan)

Date: 16 May 2017

Venue: Wildlife Department of Terengganu

No.	Name	Organisation	Title	Email
1.	Dr. Sivananthan Elagupillay	N/A	Consultant for the National Framework for Protected Area	<a href="mailto:sivawild@gmail.com">sivawild@gmail.com</a>
2.	Surin Sukswan	Proforest bhd.	Sdn Consultant for the PA Master List and Team Member for the Consultancy on Site Management Plan on Capacity Building.	<a href="mailto:surin@proforest.net">surin@proforest.net</a>
3.	Preetha Sankar	N/A	Team Member on the Consultancy on Site Management Plan on Policy and Institutional Framework	<a href="mailto:preesankar@gmail.com">preesankar@gmail.com</a>

---

Meeting with Programme Manager, National Technical Advisor and UNDP GEF Regional Technical Advisor for Malaysia

Date: 17 May 2017

Venue: UNDP Country Office

No.	Name	Organisation	Title	Email
1.	Gan Pek Chuan	UNDP	Programme Manager, Biodiversity and Sustainable Development	<a href="mailto:pek.chuan.gan@undp.org">pek.chuan.gan@undp.org</a>
2.	Muthusamy Suppiah	UNDP	National Technical Advisor – PA Financing Project	<a href="mailto:muthusamy.suppiah@undp.org">muthusamy.suppiah@undp.org</a>
3.	Doley Tshering (via Skype)	UNDP	Regional Technical Adviser, Ecosystems and Biodiversity UNDP – Global Environmental Finance	<a href="mailto:doley.tshering@undp.org">doley.tshering@undp.org</a>

List of People Interviewed Via Email

No.	Name	Organisation	Title
1.	Chang Yii Tan	PE Research Sdn. Bhd.	Managing Director
2.	Dr. Agnes Agama	SE Asia Rainforest Research Partnership (SEARRP)	Assistant Director (Policy)

PA Financing MTR Stakeholder Dialogue 19 May 2017

No	Name	Organisation	Email
<b>NGOS</b>			
1.	Norizan bt Mohd Mazlan	WWF	<a href="mailto:nmazlan@wwf.org.my">nmazlan@wwf.org.my</a>
2.	Shanmugaraj	MNS	<a href="mailto:director@mns.org.my">director@mns.org.my</a>
3.	Francis Cheong	WCS	<a href="mailto:fcheong@wcs.org">fcheong@wcs.org</a>
4.	Dato Dr. Abdul Rashid bin Ab Malik	Pulau Banding Foundation	<a href="mailto:info@pbf.org.my">info@pbf.org.my</a>
5.	Zulfadhlan Bin Ahmad Khushairi	Pulau Banding Foundation	<a href="mailto:fadhlankhushairi@gmail.com">fadhlankhushairi@gmail.com</a>
<b>Federal</b>			
6.	Dzuhaili bin Dzulkarnain	NRE	<a href="mailto:dzulhaili@nre.gov.my">dzulhaili@nre.gov.my</a>
7.	Safwan Rosidy Mohammed	EPU	<a href="mailto:rosidy@epu.gov.my">rosidy@epu.gov.my</a>
8.	Nosrat Ravichandran	Perhilitan HQ	<a href="mailto:nosrat@wildlife.gov.my">nosrat@wildlife.gov.my</a>
9.	En. Fakhrol Hatta bin Musa	Perhilitan HQ	<a href="mailto:hatta@wildlife.gov.my">hatta@wildlife.gov.my</a>
10.	En Taufik Abdul Rahman	Perhilitan HQ	<a href="mailto:taufik@wildlife.gov.my">taufik@wildlife.gov.my</a>
<b>PERAK STAKEHOLDERS</b>			
11.	Loo Kean Seong	Perhilitan Perak	<a href="mailto:looks@wildlife.gov.my">looks@wildlife.gov.my</a>
12.	Pua Kian Sien	UPEN Perak	<a href="mailto:kspua@perak.gov.my">kspua@perak.gov.my</a>
13.	Norzanita binti Mukhtar	UPEN Perak	<a href="mailto:zanita@perak.gov.my">zanita@perak.gov.my</a>
<b>JOHOR STAKEHOLDERS</b>			
14.	Pn Lili Tokiman	JNPC	<a href="mailto:lilitok73@yahoo.com">lilitok73@yahoo.com</a>
15.	Herman bin Riswan	JNPC	<a href="mailto:herman.nature@gmail.com">herman.nature@gmail.com</a>
16.	Muhammad Edika bin Kamil	JNPC	<a href="mailto:edijmd128@gmail.com">edijmd128@gmail.com</a>
17.	En. Norazmi bin Amir Hamzah	JNPC	<a href="mailto:norazmi.ah@johor.gov.my">norazmi.ah@johor.gov.my</a>
18.	Chin Sing Yun	UNDP	<a href="mailto:sing.yun.chin@undp.org">sing.yun.chin@undp.org</a>
19.	Azuan bin Mohd Sukri	Johor Forestry Department	<a href="mailto:azuan@forestry.gov.my">azuan@forestry.gov.my</a>
<b>East Coast</b>			
20.	Dzumie Heriman Mohd Nor	Perhilitan Taman Negara Kuala Tahan	<a href="mailto:dzumie@wildlife.gov.my">dzumie@wildlife.gov.my</a>
21.	Mohd Zulfadli bin Zainor	Perhilitan Terengganu	<a href="mailto:mzulfadli@wildlife.gov.my">mzulfadli@wildlife.gov.my</a>
<b>Consultants</b>			
22.	Dr. Sivananthan Elagupillay		<a href="mailto:sivawild@gmail.com">sivawild@gmail.com</a>
<b>UNDP</b>			
23.	Anne Majanil		<a href="mailto:anne.majanil@undp.org">anne.majanil@undp.org</a>
24.	Khor Pei Pei		<a href="mailto:Pei.pei.khor@undp.org">Pei.pei.khor@undp.org</a>
25.	Gan Chin Keong		<a href="mailto:chin.keong.gan@undp.org">chin.keong.gan@undp.org</a>

26.	Han Kwai Hin		<a href="mailto:Kwai.hin.han@undp.org">Kwai.hin.han@undp.org</a>
27.	Muthusamy Suppiah		<a href="mailto:Muthusamy.suppiah@undp.org">Muthusamy.suppiah@undp.org</a>
28.	Justine Vaz		<a href="mailto:Justine.vaz@undp.org">Justine.vaz@undp.org</a>
29.	Sharul Kassim		<a href="mailto:Sharul.kassim@undp.org">Sharul.kassim@undp.org</a>
30.	Nurshafenath Shaharuddin		<a href="mailto:nurshafenath.shaharuddin@undp.org">nurshafenath.shaharuddin@undp.org</a>
31.	Gan Pek Chuan		<a href="mailto:pek.chuan.gan@undp.org">pek.chuan.gan@undp.org</a>
32.	Lee Siow Ling		<a href="mailto:siow.ling.lee@undp.org">siow.ling.lee@undp.org</a>
33.	Lim Su-Jin		<a href="mailto:su-jin.lim@undp.org">su-jin.lim@undp.org</a>
34.	Laura W.Y.Lee		<a href="mailto:lee.laura@undp.org">lee.laura@undp.org</a>
<b>MTR team</b>			
35.	James Berdach		<a href="mailto:jayberd123@gmail.com">jayberd123@gmail.com</a>
36.	Yeo Bee Hong		<a href="mailto:y.beehong@gmail.com">y.beehong@gmail.com</a>
37.	Hezri Adnan		<a href="mailto:hezriadnan@gmail.com">hezriadnan@gmail.com</a>

List of People Interviewed Via Email


No.	Name	Organisation	Title
1.	Chang Yii Tan	PE Research Sdn. Bhd.	Managing Director
2.	Dr. Agnes Agama	SE Asia Rainforest Research Partnership (SEARRP)	Assistant Director (Policy)

PA Financing MTR Stakeholder Dialogue 19 May 2017

No	Name	Organisation	Email
<b>NGOS</b>			
1.	Norizan bt Mohd Mazlan	WWF	<a href="mailto:nmazlan@wwf.org.my">nmazlan@wwf.org.my</a>
2.	Shanmugaraj	MNS	<a href="mailto:director@mns.org.my">director@mns.org.my</a>
3.	Francis Cheong	WCS	<a href="mailto:fcheong@wcs.org">fcheong@wcs.org</a>
4.	Dato Dr. Abdul Rashid bin Ab Malik	Pulau Banding Foundation	<a href="mailto:info@pbf.org.my">info@pbf.org.my</a>
5.	Zulfadhlan Bin Ahmad Khushairi	Pulau Banding Foundation	<a href="mailto:fadhlankhushairi@gmail.com">fadhlankhushairi@gmail.com</a>
<b>Federal</b>			
6.	Dzuhaili bin Dzulkarnain	NRE	<a href="mailto:dzulhaili@nre.gov.my">dzulhaili@nre.gov.my</a>
7.	Safwan Rosidy Mohammed	EPU	<a href="mailto:rosidy@epu.gov.my">rosidy@epu.gov.my</a>
8.	Nosrat Ravichandran	Perhilitan HQ	<a href="mailto:nosrat@wildlife.gov.my">nosrat@wildlife.gov.my</a>
9.	En. Fakhru Hata bin Musa	Perhilitan HQ	<a href="mailto:hata@wildlife.gov.my">hata@wildlife.gov.my</a>
10.	En Taufik Abdul Rahman	Perhilitan HQ	<a href="mailto:taufik@wildlife.gov.my">taufik@wildlife.gov.my</a>
<b>PERAK STAKEHOLDERS</b>			
11.	Loo Kean Seong	Perhilitan Perak	<a href="mailto:looks@wildlife.gov.my">looks@wildlife.gov.my</a>
12.	Pua Kian Sien	UPEN Perak	<a href="mailto:kspua@perak.gov.my">kspua@perak.gov.my</a>
13.	Norzanita binti Mukhtar	UPEN Perak	<a href="mailto:zanita@perak.gov.my">zanita@perak.gov.my</a>
<b>JOHOR STAKEHOLDERS</b>			
14.	Pn Lili Tokiman	JNPC	<a href="mailto:lilitok73@yahoo.com">lilitok73@yahoo.com</a>
15.	Herman bin Riswan	JNPC	<a href="mailto:herman.nature@gmail.com">herman.nature@gmail.com</a>
16.	Muhammad Edika bin Kamil	JNPC	<a href="mailto:edijmd128@gmail.com">edijmd128@gmail.com</a>

17.	En. Norazmi bin Amir Hamzah	JNPC	<a href="mailto:norazmi.ah@johor.gov.my">norazmi.ah@johor.gov.my</a>
18.	Chin Sing Yun	UNDP	<a href="mailto:sing.yun.chin@undp.org">sing.yun.chin@undp.org</a>
19.	Azuan bin Mohd Sukri	Johor Forestry Department	<a href="mailto:azuan@forestry.gov.my">azuan@forestry.gov.my</a>
East Coast			
20.	Dzumie Heriman Mohd Nor	Perhilitan Taman Negara Kuala Tahan	<a href="mailto:dzumie@wildlife.gov.my">dzumie@wildlife.gov.my</a>
21.	Mohd Zulfadli bin Zainor	Perhilitan Terengganu	<a href="mailto:mzulfadli@wildlife.gov.my">mzulfadli@wildlife.gov.my</a>
Consultants			
22.	Dr. Sivananthan Elagupillay		<a href="mailto:sivawild@gmail.com">sivawild@gmail.com</a>
UNDP			
23.	Anne Majanil		<a href="mailto:anne.majanil@undp.org">anne.majanil@undp.org</a>
24.	Khor Pei Pei		<a href="mailto:Pei.pei.khor@undp.org">Pei.pei.khor@undp.org</a>
25.	Gan Chin Keong		<a href="mailto:chin.keong.gan@undp.org">chin.keong.gan@undp.org</a>
26.	Han Kwai Hin		<a href="mailto:Kwai.hin.han@undp.org">Kwai.hin.han@undp.org</a>
27.	Muthusamy Suppiah		<a href="mailto:Muthusamy.suppiah@undp.org">Muthusamy.suppiah@undp.org</a>
28.	Justine Vaz		<a href="mailto:Justine.vaz@undp.org">Justine.vaz@undp.org</a>
29.	Sharul Kassim		<a href="mailto:Sharul.kassim@undp.org">Sharul.kassim@undp.org</a>
30.	Nurshafenath Shaharuddin		<a href="mailto:nurshafenath.shaharuddin@undp.org">nurshafenath.shaharuddin@undp.org</a>
31.	Gan Pek Chuan		<a href="mailto:pek.chuan.gan@undp.org">pek.chuan.gan@undp.org</a>
32.	Lee Siow Ling		<a href="mailto:siow.ling.lee@undp.org">siow.ling.lee@undp.org</a>
33.	Lim Su-Jin		<a href="mailto:su-jin.lim@undp.org">su-jin.lim@undp.org</a>
34.	Laura W.Y.Lee		<a href="mailto:lee.laura@undp.org">lee.laura@undp.org</a>
MTR team			
35.	James Berdach		<a href="mailto:jayberd123@gmail.com">jayberd123@gmail.com</a>
36.	Yeo Bee Hong		<a href="mailto:y.beehong@gmail.com">y.beehong@gmail.com</a>
37.	Hezri Adnan		<a href="mailto:hezriadnan@gmail.com">hezriadnan@gmail.com</a>





Attendance List from Concluding Workshop, 09 November 2017

 PA Financing Project	
ENHANCING EFFECTIVENESS AND FINANCIAL SUSTAINABILITY OF PROTECTED AREAS IN MALAYSIA "PA FINANCING PROJECT"	
Midterm Review Concluding Workshop	
9 November 2017 Aloft KL Sentral	
Nama :	MOHAMAD RAZIF HAJI ABD MUBIN
Jawatan :	PENGARAH
Kementerian/	
Jabatan/Agensi :	E/MU (tanda tangan)
No. Tel / HP :	
E-mail :	ra.azif.mubin@epu.gov.my
Nama :	JAYA SINGAM RAJOO
Jawatan :	SUB
Kementerian/	
Jabatan/Agensi :	NRE (tanda tangan)
No. Tel / HP :	03-8886 1120
E-mail :	jayasingam@nre.gov.my
Nama :	DZUMIE HERMAN B MOHD NOR
Jawatan :	TIMB PENGUASA TNP
Kementerian/	
Jabatan/Agensi :	PERHILITAN (tanda tangan)
No. Tel / HP :	012-696 4159
E-mail :	dzumie@wildlife.gov.my







Nama	:	Dr. Dr. Abdul Rashid Ab. Malik	
Jawatan	:	CEO	
Kementerian/ Jabatan/Agensi	:	Pulau Banding Foundation	(tanda tangan)
No. Tel / HP	:	013-3850066	
E-mail	:	rashidmalik53@gmail.com	
Nama	:	DYLAN SETTI ONG	
Jawatan	:		
Kementerian/ Jabatan/Agensi	:	DENAI BHUMI	(tanda tangan)
No. Tel / HP	:	0122928950	
E-mail	:	dylan.j.ong@gmail.com	
Nama	:	Chin Sing Yun	
Jawatan	:	State Coordinator	
Kementerian/ Jabatan/Agensi	:	PA Financing Project	(tanda tangan)
No. Tel / HP	:	016-2630105	
E-mail	:	sing.yun.chin@undp.org	
Nama	:	HERMAN / PERWAN	
Jawatan	:	PENGURUS ENKAWI KOMPAN PETA	
Kementerian/ Jabatan/Agensi	:	PINJ	(tanda tangan)
No. Tel / HP	:	013 7120153	
E-mail	:	herman.nature@gmail.com	

Nama	:	Lili binti Lohman	
Jawatan	:	Pegawai Penyelidikan	
Kementerian/	:		
Jabatan/Agensi	:	Perpadanan Taman Negara Johor	(tanda tangan)
No. Tel / HP	:	012-709 5505	
E-mail	:	lilitou75@yahoo.com	
Nama	:	Billy Paiman	
Jawatan	:	HOD Conservation	
Kementerian/	:	MNS	
Jabatan/Agensi	:		(tanda tangan)
No. Tel / HP	:	018-3632058	
E-mail	:	hod-conservation@mns.org.my	
Nama	:	Azahari bin Omar	
Jawatan	:	Deputy Control of NP & NR	
Kementerian/	:		
Jabatan/Agensi	:	JABATAN HUTAN SARAWAK	(tanda tangan)
No. Tel / HP	:	019-8596945	
E-mail	:	azahario@sarawak.gov.my	
Nama	:	Lo Sheau Sia	
Jawatan	:	Principal Assistant Director	
Kementerian/	:		
Jabatan/Agensi	:	State Planning Unit	(tanda tangan)
No. Tel / HP	:	082 319431	
E-mail	:	loss@sarawak.gov.my	

Nama	:	SARADAMBAL SEINIVASAN	
Jawatan	:	POLICY ANALYST	
Kementerian/			
Jabatan/Agensi	:	WWF-MALAYSIA	(tanda tangan)
No. Tel / HP	:	012-2082040	
E-mail	:	ssrinivasan@wwf.org.my	
Nama	:	PREETHA SANKAR	
Jawatan	:	PEGUAM BELA & PEGUAM CARA	
Kementerian/			(tanda tangan)
Jabatan/Agensi	:	PREETHA SANKAR / NIPCON	
No. Tel / HP	:	016- 6600935	
E-mail	:	preetha.sankar@gmail.com	
Nama	:	Sivananthan Elagupillay	
Jawatan	:	Perwakilan / NIPA	
Kementerian/		Non Member Global Tiger Forum	(tanda tangan)
Jabatan/Agensi	:		
No. Tel / HP	:	017-6774077	
E-mail	:	siva.wild@gmail.com	
Nama	:	VICTOR LUNA AMIN	
Jawatan	:	Manager	
Kementerian/		Sarawak Forestry	
Jabatan/Agensi	:	Corporation (SFC)	(tanda tangan)
No. Tel / HP	:	016-8754943	
E-mail	:	vluna@sarawakforestry.com	

Nama	:	Tan Wm Sim	
Jawatan	:	Senior Researcher	
Kementerian/	:		
Jabatan/Agensi	:	Wildlife Conservation Society - Malaysia Program	(tanda tangan)
No. Tel / HP	:	017-6393321	
E-mail	:	wtan@wscs.org	
Nama	:	NORLHUDA BINTI JAMALUDDIN	
Jawatan	:	ASSISTANT COORDINATOR	
Kementerian/	:		
Jabatan/Agensi	:	WILDLIFE CONSERVATION SOCIETY - MALAYSIA	(tanda tangan)
No. Tel / HP	:	012-3568583	
E-mail	:	njamaluddin@wcs.org	
Nama	:	Wan Shahrudin b. Wan Noordin	
Jawatan	:	Ketua Peladang Pengarah	
Kementerian/	:		
Jabatan/Agensi	:	DWNP	(tanda tangan)
No. Tel / HP	:	012-9619626	
E-mail	:	wan@wildlife.gov.my	
Nama	:	MOHD-NAZRUH B MEHMET	
Jawatan	:	KPSU	
Kementerian/	:		
Jabatan/Agensi	:	NRE	(tanda tangan)
No. Tel / HP	:	019-9728102	
E-mail	:	nasrula.nre.gov.my	



Nama	:	Han Kwai Hin	
Jawatan	:	Project Coordinator	
Kementerian/	:		
Jabatan/Agensi	:	UNDP PAF	(tanda tangan)
No. Tel / HP	:	012-5152056	
E-mail	:	kwai.hin.han@undp.org	
Nama	:	INDRA P. SUNJOTO	
Jawatan	:	SENIOR ASSISTANT CHIEF CONSERVATOR OF FORESTS	
Kementerian/	:		
Jabatan/Agensi	:	CABANG FORESTRY DEPT.	(tanda tangan)
No. Tel / HP	:	0198132469	
E-mail	:	IndraPurwandita.Sunjoto@sabdi.gov.my	
Nama	:	AZHAR BIN AHMAD	
Jawatan	:	DEPUTY DIRECTOR	
Kementerian/	:	JOHOR STATE FORESTRY DEPT.	
Jabatan/Agensi	:		(tanda tangan)
No. Tel / HP	:	07-2661288 / 012-7753665	
E-mail	:	azhar.ahmad@johor.gov.my	
Nama	:	Jennifer anak Francis	
Jawatan	:	District Forest Officer	
Kementerian/	:		
Jabatan/Agensi	:	Johor State Forestry Department	(tanda tangan)
No. Tel / HP	:	013-8248604	
E-mail	:	jenniferfrancis8@gmail.com	

Nama : Renuka Devi Loganathan  
Jawatan : KPP  
Kementerian/ :  
Jabatan/Agensi : UPE, JPM (Bekas Kerjasama Antarabangsa)  
No. Tel / HP : 03-88723362  
E-mail : renuka.loganathan@epu.gov.my

(tanda tangan)

Nama : Ashwin Abdul Kader  
Jawatan : Director  
Kementerian/ :  
Jabatan/Agensi : Economic Planning Unit  
No. Tel / HP : 03-88723337 / 013-4355674  
E-mail : ashwin@epu.gov.my

(tanda tangan)

Nama : Mohd Hafiz b Rosak  
Jawatan : Pegawai Tadbir  
Kementerian/ :  
Jabatan/Agensi : Perhubungan Tanah Negeri Perak  
No. Tel / HP : 013-5378970  
E-mail : qpeace87@gmail.com

(tanda tangan)

Nama : Sharul Kuzaimi Kasim  
Jawatan : PROTECT Executive  
Kementerian/ :  
Jabatan/Agensi : PA Perancangan PROTECT  
No. Tel / HP : 016 2699735  
E-mail : sharul.kasim@nep.org

(tanda tangan)

Nama	:	<u>Ruthsany Supriol.</u>	
Jawatan	:	<u>PROJECT MANAGER</u>	
Kementerian/			
Jabatan/Agensi	:	<u>POPP</u>	(tanda tangan)
No. Tel / HP	:		
E-mail	:		
Nama	:	<u>Lee Peck Chuan.</u>	
Jawatan	:	<u>Programme Manager.</u>	
Kementerian/			
Jabatan/Agensi	:	<u>UNDP.</u>	(tanda tangan)
No. Tel / HP	:		
E-mail	:		
Nama	:	<u>Sion Ling Lee</u>	
Jawatan	:	<u>Env. Assistant.</u>	
Kementerian/			
Jabatan/Agensi	:	<u>UNDP.</u>	(tanda tangan)
No. Tel / HP	:		
E-mail	:		
Nama	:	<u>Noraila Mohamed</u>	
Jawatan	:		
Kementerian/			
Jabatan/Agensi	:	<u>UNDP.</u>	(tanda tangan)
No. Tel / HP	:		
E-mail	:		

## ANNEX E. REVIEW OF PROJECT WORK PLANNING IN RELATION TO THE PROJECT IMPLEMENTATION PLAN

Outcome	Output	Main activities	'13	'14	'15	'16	'17	'18	Notes
Outcome 1 Systemic and institutional capacities to manage and financially support a national PA system	Output 1.1 National framework established in support of developing of a national PA system, with uniform criteria for PA establishment and management standards	1.1.1. To develop a national institutional framework/ coordinating and monitoring mechanism for the National PA System							• On track
		1.1.2. To collect and analyse local and international PA management arrangements and establish standards							• Lack of detailed assessment of management standards, though METT and financial sustainability scorecard have been used.
		1.1.3. To develop and get agreement on management standards and criteria for PA establishment and prioritised representative PA network through a stakeholder driven process.							• Waiting for the completion of the National Framework • Postponed to end 2017
	Output 1.2 Performance measurement indices developed and adopted for (i) individual PAs and (ii) overall PA networks with identified targets for financial requirements	1.2.1. To identify and agree on ecological indices as part of a performance management and monitoring system.							• Lack of progress • The project has proposed for this to be dropped
		1.2.2. To identify monitoring indicators for management effectiveness (e.g. METT) and agree on their use as part of a performance management and monitoring system.							• Tracking tools such as METT, sustainability scorecard have been used. Adoption of CATs in RBSP • No other indicators have been assessed.
		1.2.3. To pilot test a performance system from generation of data to collection, analysis, evaluation and decision making for final adaptation.							• Lack of progress as it requires that the performance system is set up first.
	Output 1.3 PA information and knowledge management system established to support the national PA system management	1.3.1. To assess and review currently available PA information and knowledge management system at PA and national levels, especially data providers and users.							• On track
		1.3.2. To develop templates and collect pilot data from key agencies							• On track
		1.3.3. To test, finalise and operationalise a national level PA information and knowledge management system.							• On track
	Output 1.4 Budgetary framework created to increase financial support for PAs, allocated on the basis of	1.4.1. To compile cases where special budget lines have been created to cater for the needs of PA management.							• Lack of progress
		1.4.2. To propose a budgetary framework for PA funding that is based on performance and needs within the current development financing and planning (rolling							• Lack of progress • Proposal by JNPC submitted via UPEN to NRE, however, proposal was not successful –



Outcome	Output	Main activities	'13	'14	'15	'16	'17	'18	Notes
	<b>performance</b>	plan) framework.							opportunity to explore other potential options
		1.4.3. To establish a Conservation Trust Fund							<ul style="list-style-type: none"> <li>On track</li> <li>Follow up support being planned.</li> </ul>
		1.4.4. To conduct the Malaysian TEEB study to recognise, capture and demonstrate the total economic values of PAs in order to support justification for investments in PAs.							<ul style="list-style-type: none"> <li>Lack of progress</li> </ul>
	<b>Output 1.5 Structures and processes created for NRE to provide performance-based operational and capital grants to PAs on the basis of performance against national indices, and other relevant criteria</b>	1.5.1. To establish the national performance benchmark for the PA management system.							<ul style="list-style-type: none"> <li>Lack of progress</li> </ul>
		1.5.2. To identify and analyse possible institutional structures to provide performance based funding and recommend appropriate structure and mechanisms including monitoring and evaluation							Timeline was not identified
		1.5.3. To establish a special budget line for Taman Negara and Johor Parks as a test of Park Management performance by 2015.							<ul style="list-style-type: none"> <li>Lack of progress</li> </ul>
	<b>Output 1.6 Capacity of key Federal (EPU and MoF) and State agencies is strengthened to ensure sustainable financing of PA management is addressed in the annual budget</b>	1.6.1. Capacity needs will be analysed and determined as information on the institutional structures and performance based systems are coming in place							<ul style="list-style-type: none"> <li>Lack of progress</li> </ul>
		1.6.2. Develop capacity building plans to incorporate these changes into the annual budget process and framework, institutionalize where possible							<ul style="list-style-type: none"> <li>Lack of progress</li> </ul>
		1.6.3. Implement the capacity building plans.							<ul style="list-style-type: none"> <li>Lack of progress</li> </ul>
	<b>Outcome 2</b> Technical and institutional capacities to manage sub-national PA networks, including capacities for effective financial management	<b>Output 2.1 PA network financing plans developed, incorporating strategies for financing source diversification for PA networks</b>	2.1.1. Develop longer term strategies and financing plans based on identified financing gaps at the PA sub-national network level.						<ul style="list-style-type: none"> <li>Delayed, steps are being put in place to follow up for efforts at the sub-national level</li> </ul>
			2.1.2. Analyse barriers and opportunities in the enabling environment for financing diversification at the three sub-national PA networks.						<ul style="list-style-type: none"> <li>Delayed, steps are being put in place to follow up for efforts at the sub-national level</li> </ul>
			2.1.3. Develop strategies for financing generation for the three sub-national PA networks.						<ul style="list-style-type: none"> <li>Delayed, steps are being put in place to follow up for efforts at the sub-national level</li> </ul>
		<b>Output 2.2 Policies and guidelines for PA financing diversification</b>	2.2.1. Engage with relevant authorities to strengthen the enabling environment for financing diversification at the three sub-national PA networks.						<ul style="list-style-type: none"> <li>Delayed, steps are being put in place to follow up for efforts at the sub-national level</li> </ul>

Outcome	Output	Main activities	'13	'14	'15	'16	'17	'18	Notes
	<b>and retention institutionalized in the targeted PA agencies</b>	2.2.2. Engage with relevant authorities to decide on suitable strategies and mechanisms for revenue diversification and financing of the PA sub-network.							• Delayed, steps are being put in place to follow up for efforts at the sub-national level
		2.2.3. Produce and issue State Guidelines for financing diversification and retention.							• Delayed, steps are being put in place to follow up for efforts at the sub-national level
	<b>Output 2.3</b> Three target networks have sufficient institutional capacity to support their PAs to meet national management criteria and access performance-based financial support system	2.3.1. To identify strengths and weaknesses within the target PA networks and assisting in strengthening the organisational framework as appropriate.			----->				• On track
		2.3.2. To explore the possibility for establishing a sustainable financing unit within the sub PA network.				----->			• On track
		2.3.3. To build skills in proposal writing, park management and communication at the PA network level.							• On track on park management, • Lack of progress in terms of proposal writing
	<b>Output 2.4</b> A Center of Excellence to meet the long-term capacity development needs of PA authorities is established	2.4.1. To develop a long-term vision and strategic plan for the Krau Institute for Biodiversity to become a national 'PA Centre of Excellence'							• On track
		2.4.2. To develop the institutional capacity of Centre to pursue objectives.				----->			• On track
		2.4.3. To develop a national capacity building programme for PAs						----->	• On track
	<b>Output 3.1</b> PA Management Plan developed for target PAs and replicated to other PAs over 20,000 ha	3.1.1. Collect existing PA management plans and evaluate them with a view to develop a common management plan template.							• On track
		3.1.2. Collect information on existing PA management planning processes as basis to describe the best plan development process.							• On track
		3.1.3. To develop/update the PA management plans for target PAs and replicated to other terrestrial PAs.							• On track
		3.1.4 To establish mechanisms for involving local communities including business communities in Management Planning and Implementation							• On track
	<b>Output 3.2</b> PA Business Plans developed for target PAs and replicated for	3.2.1. To review national and international best practices on PA business plan content and plan development and evaluate them with a view to develop a standardized business plan template.							• On track

**Outcome 3**  
Effective site-level PA management

Outcome	Output	Main activities	'13	'14	'15	'16	'17	'18	Notes
	PAs over 20,000 ha.	3.2.2. To develop PA business plans for target PAs and replicated to other terrestrial PAs.							• On track
	<b>Output 3.3</b> Functional capacities of the target PAs improved, meeting the minimum performance criteria under the national standards	3.3.1. Develop Park Management organisational performance enhancing action plans taking the starting point from information revealed in the METT Score from the 3 target sites.							• On track
		3.3.2. Develop tools, manuals, and operating procedures necessary to help staff implement the PA Management and business plans.							• On track, follow up activities are being planned
		3.3.3. Establish mechanisms for exchange of ideas and practices within and across the PA network.							• On track
	<b>Output 3.4</b> Best practices and lessons documented, integrated into communication strategies and used in replication and scaling up	3.4.1. To identify and document best practices within the PA system.							• On track
		3.4.2. To develop and implement a PA Communication and Outreach Strategy to market the values, best practices and lessons of Malaysian protected areas in both a local and international context.							• On track

Source: Project implementation plan, Roadmap: Strategic review of project milestones according to target outcomes (power point presentation), 23 June 2016, PA Financing Project, Annual Work Plans (2013-2017), Annual Progress Report

Note: **Red**: Lack of progress, **Orange**: Delayed with initial steps in place

## ANNEX F. CONSULTANT TORs (EXCLUDING TOR ANNEXES)



### UNDP-GEF MIDTERM REVIEW

### LEAD CONSULTANT/ENVIRONMENTAL FINANCE SPECIALIST

### TERMS OF REFERENCE

#### BASIC CONTRACT INFORMATION

**Location:** Home-based with travel to Kuala Lumpur, Taman Negara National Park, Kuantan, Ipoh, Royal Belum State Park, Johor Bahru and Endau-Rompin National Park, Malaysia

**Application Deadline:** 13 May 2016

**Additional Category:** Sustainable Development and Poverty Reduction

**Type of Contract:** Individual Contract

**Post Level:** International Consultant

**Languages Required:** English

**Starting Date:** 30 May 2016

**Duration of Initial Contract:** 6 months (30 May 2016 – 30 November 2016)

**Expected Duration of Assignment:** 50 working days

#### BACKGROUND

##### A. Project Title

Enhancing Effectiveness and Financial Sustainability of Protected Areas in Malaysia

##### B. Project Description

This is the Terms of Reference for the UNDP-GEF Midterm Review (MTR) of the full-sized project titled *Enhancing Effectiveness and Financial Sustainability of Protected Areas in Malaysia* (PIMS#3967) (also known as PA Financing project) implemented by the Department of Wildlife and National Parks in Malaysia, which is to be undertaken in June 2016. The project started on the 5 June 2012 and is in its fifth year of implementation. The project is scheduled to end on 30 June 2019. In line with the UNDP-GEF Guidance on MTRs, this MTR process was initiated before the submission of the fourth Project Implementation Report (PIR). The MTR process must follow the guidance outlined in the document *Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* (see [http://web.undp.org/evaluation/documents/guidance/GEF/mid-term/Guidance\\_Midterm%20Review%20\\_EN\\_2014.pdf](http://web.undp.org/evaluation/documents/guidance/GEF/mid-term/Guidance_Midterm%20Review%20_EN_2014.pdf)).

The PA Financing project was designed to address the sub-optimal management and inadequate resources invested in the protected area system in Malaysia with primary focus on the three protected area networks covering a total area of 2.98 million hectares, managed by the Federal Department of Wildlife and National Parks, Johor National Parks Corporation and Perak State Parks Corporation.

The objective of the project is to establish a performance-based financing structure to support effective protected area system management in Malaysia. Interventions to achieve this objective are structured into three outcome components, designed to address barriers at the national, sub-national network and site PA levels respectively:

**Outcome 1:** Systemic and institutional capacities to manage and financially support a national PA system by addressing barriers at the national systems level to improve management effectiveness and financial sustainability of protected areas.

**Outcome 2:** Technical and institutional capacities to manage sub-national PA networks, including capacities for effective financial management by strengthening the sub-PA network capacity to be able to meet the management standards set under Outcome 1 so as to decrease funding gap of the PA network.

**Outcome 3:** Effective site-level PA management by improving basic PA management capacities where required, and will also enhance the management and business planning skills of PA managers, to enable the PA system to maximize revenue generation and to streamline costs.

See the signed project document at

[http://www.my.undp.org/content/malaysia/en/home/operations/projects/environment\\_and\\_energy/enhancing-effectiveness-and-financial-sustainability-of-protecte.html](http://www.my.undp.org/content/malaysia/en/home/operations/projects/environment_and_energy/enhancing-effectiveness-and-financial-sustainability-of-protecte.html).

## **DUTIES AND RESPONSIBILITIES**

### **C. Scope of Work and Key Tasks**

The MTR will assess progress towards the achievement of the project objectives and outcomes as specified in the Project Document and programme outcomes as stipulated in the Country Programme Action Plan (CPAP) 2016 – 2020 between UNDP and the Government of Malaysia, and assess early signs of project success or failure with the purpose of identifying the necessary changes to be made in order to set the project on-track to achieve its intended results. The MTR will also review the project’s strategy and its risks to sustainability. The MTR must provide evidence based information that is credible, reliable and useful.

The MTR Lead Consultant will perform the key tasks as follows:

- Lead and assign division of work for a team of two independent experts including National Protected Area Specialist and Social Scientist who will conduct the MTR.
  - Conduct a document review of project documents i.e. Country Programme Action Plan (CPAP) 2016 – 2020 between UNDP and Government of Malaysia, Project Identification Form (PIF), UNDP Initiation Plan, Project Document, Environmental and Social Safeguard Policy (ESSP), Project Inception Report, Project Implementation Reviews, Finalized GEF focal area Tracking Tools, Project Appraisal Committee meeting minutes, Financial and Administration guidelines used by Project Team, project operational guidelines, manuals and systems, etc.; provided by UNDP Malaysia Country Office and Project Team.
  - Plan and facilitate in a MTR inception workshop to clarify their understanding of the objectives and methods of the MTR, producing the MTR inception report thereafter.
  - Conduct field mission with MTR team that consist of interviews with stakeholders who have project responsibilities and site visits to Kuala Lumpur, Taman Negara National Park, Kuantan, Ipoh, Royal
-

Belum State Park, Johor Bahru and Endau-Rompin National Park.

- Assess the following four categories of project progress based on the *Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* for requirements on ratings. No overall rating is required.
- Produce a draft and final MTR report with MTR team members.
- Plan the MTR Concluding Stakeholder Workshop.

## 1. Project Strategy

### *Project Design:*

- Review the problem addressed by the project and the underlying assumptions. Review the effect of any incorrect assumptions or changes to the context to achieving the project results as outlined in the Project Document.
- Review the relevance of the project strategy and assess whether it provides the most effective route towards expected/intended results stipulated in the project document/inception report and the CPAP 2016 – 2020.
- Review how the project addresses country priorities. Review country ownership. Was the project concept in line with the national and sector development priorities and plans in Malaysia?
- Review decision-making processes: were perspectives of those who would be affected by project decisions, those who could affect the outcomes, and those who could contribute information or other resources to the process, taken into account during project design processes?
- Review the extent to which relevant gender issues were raised in the project design. See Annex 9 of *Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* for further guidelines.
- If there are major areas of concern, recommend areas for improvement.

### *Results Framework/Logframe:*

- Undertake a critical analysis of the project’s logframe indicators and targets, assess how “SMART” the midterm and end-of-project targets are (Specific, Measurable, Attainable, Relevant, Time-bound), and suggest specific amendments/revisions to the targets and indicators as necessary.
- Examine if progress so far has led to, or could in the future catalyse beneficial development effects (i.e. income generation, gender equality and women’s empowerment, improved governance etc.) that should be included in the project results framework and monitored on an annual basis.

## 2. Progress Towards Results

- Review the logframe indicators against progress made towards the end-of-project targets; populate the Progress Towards Results Matrix, as described in the *Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects*; colour code progress in a “traffic light system” based on the level of progress achieved; assign a rating on progress for the project objective and each outcome; make recommendations from the areas marked as “not on target to be achieved” (red).
- Compare and analyse the GEF Tracking Tool at the Baseline with the one completed right before the Midterm Review.
- Identify remaining barriers to achieving the project objective.
- Review the aspects of the project that have already been successful and identify ways in which the project can further expand these benefits.

## 3. Project Implementation and Adaptive Management

Using the *Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects*; assess the following categories of project progress:

- Management Arrangements
- Work Planning
- Finance and co-finance
- Project-level monitoring and evaluation systems
- Stakeholder Engagement particularly local and indigenous communities
- Reporting
- Communications

#### 4. Sustainability

Assess overall risks to sustainability factors of the project in terms of the following four categories:

- Financial risks to sustainability
- Socio-economic risks to sustainability
- Institutional framework and governance risks to sustainability
- Environmental risks to sustainability

***The MTR Lead Consultant and his/her team will include a section in the MTR report setting out the MTR’s evidence-based conclusions, in light of the findings.***

Additionally, the MTR Lead Consultant and his/her team is expected to make recommendations to the Implementing Partners and Project Team. Recommendations should be succinct suggestions for critical intervention that are specific, measurable, achievable, and relevant. A recommendation table should be put in the report’s executive summary. The MTR Lead Consultant and his/her team should make no more than 15 recommendations in total.

#### D. Expected Outputs and Deliverables

The MTR Lead Consultant shall prepare and submit:

- MTR Inception Report: MTR team clarifies objectives and methods of the Midterm Review no later than 2 weeks before the MTR mission. To be sent to UNDP Malaysia Country Office and project management. Approximate due date: 8 June 2016
- Presentation: Initial Findings presented to project management and UNDP Malaysia at the end of the MTR mission. Approximate due date: 24 June 2016
- Draft Final Report: Full report with annexes within 3 weeks of the MTR mission. Approximate due date: 15 July 2016
- Final Report\*: Revised report with annexed audit trail detailing how all received comments have (and have not) been addressed in the final MTR report. To be sent to the UNDP Malaysia within 2 weeks of receiving UNDP and stakeholders’ comments on draft. Approximate due date: 15 August 2016

\*The final MTR report must be in English. If applicable, UNDP Malaysia may choose to arrange for a translation of the report into Malay language – the official language more widely shared by national stakeholders.

#### E. Institutional Arrangement

***The Commissioning Unit for this project’s MTR is UNDP Malaysia Country Office. UNDP Malaysia will contract the MTR Lead Consultant and ensure the timely provision of per diems and travel arrangements within the country for the MTR team. The Project Team will be responsible for liaising with the MTR team to provide all relevant documents, set up stakeholder interviews, and arrange field visits.***

#### F. Duration of the Work

The total duration of the MTR will be 50 working days starting 30 May 2016, and shall not exceed six months from when

the Lead Consultant is hired. The tentative MTR timeframe is as follows:

- 13 May 2016: Application closes
- 16 May 2016: Selection of MTR Lead Consultant and team members
- 23 – 27 May 2016: Prep the MTR Team (handover of project documents)
- 30 May – 3 June 2016 (5 days): Document review and preparing MTR Inception Report
- 6 – 10 June 2016 (5 days): Finalization and Validation of MTR Inception Report- latest start of MTR mission
- 12 – 26 June 2016 (15 days): MTR mission: stakeholder meetings, interviews, field visits
- 24 June 2016: Mission wrap-up meeting & presentation of initial findings- earliest end of MTR mission
- 27 June – 11 July 2016 (15 days): Preparing draft report
- 18 – 29 July 2017 (5 days): Incorporating audit trail on draft report/Finalization of MTR report
- 1 – 5 August 2016 (3 days): Preparation & Issue of Management Response
- 11 August 2016 (2 days): Planning the Concluding Stakeholder Workshop (only MTR National Protected Area Specialist and Social Scientist participate)
- 31 August 2016: Expected date of full MTR completion

The start date of contract is 30 May 2016.

#### **G. Duty Station**

All travels within Malaysia will be arranged by UNDP Malaysia and Project Team except international travel from home base to Malaysia. All related travel expenses will be covered and will be reimbursed as per UNDP rules and regulations upon submission of an F-10 claim form and supporting documents.

#### **Travel:**

- International travel will be required to Kuala Lumpur, Malaysia during the MTR mission;
- The Basic Security in the Field II and Advanced Security in the Field courses must be successfully completed prior to commencement of travel;
- Individual Consultants are responsible for ensuring they have vaccinations/inoculations when travelling to certain countries, as designated by the UN Medical Director.
- Consultants are required to comply with the UN security directives set forth under <https://dss.un.org/dssweb/>.

### **REQUIRED SKILLS AND EXPERIENCE**

#### **H. Qualifications of the Successful Applicants**

The selection of Lead Consultant will be aimed at maximising the overall “team” qualities in the following areas:

- Experience with result-based management evaluation methodologies for at least 10 years;
- Experience applying SMART targets and reconstructing or validating baseline scenarios;
- Competence in adaptive management, as applied to biodiversity focal area;
  - Experience working with the GEF or GEF-evaluations for at least 5 years;
  - Experience working in Malaysia, South-East Asian or Asia-Pacific region;
- Work experience in environment and/or conservation finance for at least 10 years;
- Excellent communication skills;
- Demonstrable analytical skills;
- Project evaluation/review experiences within United Nations system will be considered an asset;
- A Master’s degree or higher in conservation/environmental finance, economics, environmental or



natural resource economics, environmental planning/management, public finance, or other closely related field.

***Consultant Independence:***

The consultants cannot have participated in the project preparation, formulation, and/or implementation (including the writing of the Project Document) and should not have a conflict of interest with project’s related activities.

**APPLICATION PROCESS**

**I. Scope of Price Proposal and Schedule of Payments**

***Financial Proposal:***

- Financial proposal must be “all inclusive” and expressed in a lump-sum for the total duration of the contract. The term “all inclusive” implies all cost (professional fees, international travel costs, living allowances etc.);
- For duty travels, the UN’s Daily Subsistence Allowance (DSA) rates should provide indication of the cost of living in a duty station/destination.
- The lump sum is fixed regardless of changes in the cost components.

***Schedule of Payments:***

20% of payment upon approval of the MTR Inception Report  
30% upon submission of the draft MTR Report  
50% upon finalization of the MTR Report

Or, as otherwise agreed between UNDP Malaysia and MTR Lead Consultant.

**J. Recommended Presentation of Offer**

- a) Completed **Letter of Confirmation of Interest and Availability** (Annex 1) provided by UNDP;
- b) **Personal CV or a [P11 Personal History form](#)**, indicating all past experience from similar projects, as well as the contact details (email and telephone number) of the Candidate and at least three (3) professional references;
- c) **Brief description of approach to work/technical proposal** of why the individual considers him/herself as the most suitable for the assignment, and a proposed methodology on how they will approach and complete the assignment; (max 1 page)
- d) **Financial Proposal** (Annex 2) that indicates the all-inclusive fixed total contract price, supported by a breakdown of costs, as per template provided. If an applicant is employed by an organization/company/institution, and he/she expects his/her employer to charge a management fee in the process of releasing him/her to UNDP under Reimbursable Loan Agreement (RLA), the applicant must indicate at this point, and ensure that all such costs are duly incorporated in the financial proposal submitted to UNDP.

Incomplete applications will be excluded from further consideration.

**K. Criteria for Selection of the Best Offer**

The award of the contract will be made to the Individual Consultant who has obtained the highest Combined Score and has accepted UNDP’s General Terms and Conditions. Only those applications which are responsive and compliant will be evaluated. The offers will be evaluated using the “Combined Scoring method” where:

- a) The educational background and experience on similar assignments will be weighted a max. of 70%;
  - b) The price proposal will weigh as 30% of the total scoring.
-



## **UNDP-GEF MIDTERM REVIEW**

### **NATIONAL PROTECTED AREA SPECIALIST**

#### **TERMS OF REFERENCE**

##### **BASIC CONTRACT INFORMATION**

**Location:** Home-based with travel to Kuala Lumpur, Taman Negara National Park, Kuantan, Ipoh, Royal Belum State Park, Johor Bahru and Endau-Rompin National Park, Malaysia

**Application Deadline:** 13 May 2016

**Additional Category:** Sustainable Development and Poverty Reduction

**Type of Contract:** Individual Contract

**Post Level:** National Consultant

**Languages Required:** English, Malay

**Starting Date:** 30 May 2016

**Duration of Initial Contract:** 6 months (30 May 2016 – 30 November 2016)

**Expected Duration of Assignment:** 50 working days

##### **BACKGROUND**

###### **A. Project Title**

Enhancing Effectiveness and Financial Sustainability of Protected Areas in Malaysia

###### **B. Project Description**

This is the Terms of Reference for the UNDP-GEF Midterm Review (MTR) of the full-sized project titled *Enhancing Effectiveness and Financial Sustainability of Protected Areas in Malaysia* (PIMS#3967) (also known as PA Financing project) implemented by the Department of Wildlife and National Parks in Malaysia, which is to be undertaken in June 2016. The project started on the 5 June 2012 and is in its fifth year of implementation. The project is scheduled to end on 30 June 2019. In line with the UNDP-GEF Guidance on MTRs, this MTR process was initiated before the submission of the fourth Project Implementation Report (PIR). The MTR process must follow the guidance outlined in the document *Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* (see [http://web.undp.org/evaluation/documents/guidance/GEF/mid-term/Guidance\\_Midterm%20Review%20EN\\_2014.pdf](http://web.undp.org/evaluation/documents/guidance/GEF/mid-term/Guidance_Midterm%20Review%20EN_2014.pdf)).

The PA Financing project was designed to address the sub-optimal management and inadequate resources invested in the protected area system in Malaysia with primary focus on the three protected area networks covering a total area of 2.98 million hectares, managed by the Federal Department of Wildlife and National Parks, Johor National Parks Corporation and Perak State Parks Corporation.

The objective of the project is to establish a performance-based financing structure to support effective protected area system management in Malaysia. Interventions to achieve this objective are structured into three outcome

---

components, designed to address barriers at the national, sub-national network and site PA levels respectively:

**Outcome 1:** Systemic and institutional capacities to manage and financially support a national PA system by addressing barriers at the national systems level to improve management effectiveness and financial sustainability of protected areas.

**Outcome 2:** Technical and institutional capacities to manage sub-national PA networks, including capacities for effective financial management by strengthening the sub-PA network capacity to be able to meet the management standards set under Outcome 1 so as to decrease funding gap of the PA network.

**Outcome 3:** Effective site-level PA management by improving basic PA management capacities where required, and will also enhance the management and business planning skills of PA managers, to enable the PA system to maximize revenue generation and to streamline costs.

See the signed project document at [http://www.my.undp.org/content/malaysia/en/home/operations/projects/environment\\_and\\_energy/enhancing-effectiveness-and-financial-sustainability-of-protecte.html](http://www.my.undp.org/content/malaysia/en/home/operations/projects/environment_and_energy/enhancing-effectiveness-and-financial-sustainability-of-protecte.html).

## **DUTIES AND RESPONSIBILITIES**

### **C. Scope of Work and Key Tasks**

The MTR will assess progress towards the achievement of the project objectives and outcomes as specified in the Project Document and programme outcomes as stipulated in the Country Programme Action Plan (CPAP) 2016 – 2020 between UNDP and the Government of Malaysia, and assess early signs of project success or failure with the purpose of identifying the necessary changes to be made in order to set the project on-track to achieve its intended results. The MTR will also review the project’s strategy and its risks to sustainability. The MTR must provide evidence based information that is credible, reliable and useful.

The MTR National Protected Area Specialist reports to the MTR Lead Consultant. He/She will perform the key tasks as follows:

- Conduct a document review of project documents i.e. Country Programme Action Plan (CPAP) 2016 – 2020 between UNDP and Government of Malaysia, Project Identification Form (PIF), UNDP Initiation Plan, Project Document, Environmental and Social Safeguard Policy (ESSP), Project Inception Report, Project Implementation Reviews, Finalized GEF focal area Tracking Tools, Project Appraisal Committee meeting minutes, Financial and Administration guidelines used by Project Team, project operational guidelines, manuals and systems, etc.; provided by UNDP Malaysia Country Office and Project Team.
  - Plan and facilitate in a MTR inception workshop to clarify their understanding of the objectives and methods of the MTR, producing the MTR inception report thereafter by providing relevant expertise and knowledge on the protected area management in Malaysia.
  - Conduct field missions that consist of interviews with stakeholders who have project responsibilities and site visits to Kuala Lumpur, Taman Negara National Park, Kuantan, Ipoh, Royal Belum State Park, Johor Bahru and Endau-Rompin National Park.
  - Assess the following four categories of project progress based on the *Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* for requirements on ratings. No overall rating is required.
  - Produce relevant chapters of a draft and final MTR report as assigned by MTR Lead Consultant.
  - Plan with Lead Consultant and present the final MTR report in the MTR Concluding Stakeholder Workshop.
-

## 2. Project Strategy

### *Project Design:*

- Review the problem addressed by the project and the underlying assumptions. Review the effect of any incorrect assumptions or changes to the context to achieving the project results as outlined in the Project Document.
- Review the relevance of the project strategy and assess whether it provides the most effective route towards expected/intended results stipulated in the project document/inception report and the CPAP 2016 – 2020.
- Review how the project addresses country priorities. Review country ownership. Was the project concept in line with the national and sector development priorities and plans in Malaysia?
- Review decision-making processes: were perspectives of those who would be affected by project decisions, those who could affect the outcomes, and those who could contribute information or other resources to the process, taken into account during project design processes?
- Review the extent to which relevant gender issues were raised in the project design. See *Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* for further guidelines.
- If there are major areas of concern, recommend areas for improvement.

### *Results Framework/Logframe:*

- Undertake a critical analysis of the project’s logframe indicators and targets, assess how “SMART” the midterm and end-of-project targets are (Specific, Measurable, Attainable, Relevant, Time-bound), and suggest specific amendments/revisions to the targets and indicators as necessary.
- Examine if progress so far has led to, or could in the future catalyse beneficial development effects (i.e. income generation, gender equality and women’s empowerment, improved governance etc.) that should be included in the project results framework and monitored on an annual basis.

## 5. Progress Towards Results

- Review the logframe indicators against progress made towards the end-of-project targets; populate the Progress Towards Results Matrix, as described in the *Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects*; colour code progress in a “traffic light system” based on the level of progress achieved; assign a rating on progress for the project objective and each outcome; make recommendations from the areas marked as “not on target to be achieved” (red).
- Compare and analyse the GEF Tracking Tool at the Baseline with the one completed right before the Midterm Review.
- Identify remaining barriers to achieving the project objective.
- Review the aspects of the project that have already been successful and identify ways in which the project can further expand these benefits.

## 6. Project Implementation and Adaptive Management

Using the *Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects*, assess the following categories of project progress:

- Management Arrangements
  - Work Planning
  - Finance and co-finance
  - Project-level monitoring and evaluation systems
  - Stakeholder Engagement
  - Reporting
  - Communications
-

## 7. Sustainability

Assess overall risks to sustainability factors of the project in terms of the following four categories:

- Financial risks to sustainability
- Socio-economic risks to sustainability
- Institutional framework and governance risks to sustainability
- Environmental risks to sustainability

***The MTR National Protected Area Specialist will include a section in the MTR report setting out the MTR’s evidence-based conclusions, in light of the findings.***

Additionally, the MTR National Protected Area Specialist is expected to make **recommendations** related to protected area management to the Implementing Partners and Project Team. Recommendations should be succinct suggestions for critical intervention that are specific, measurable, achievable, and relevant. A recommendation table should be put in the report’s executive summary. The MTR team should make no more than 15 recommendations in total.

## D. Expected Outputs and Deliverables

The MTR National Protected Area Specialist shall prepare and submit:

- MTR Inception Report: MTR team clarifies objectives and methods of the Midterm Review no later than 2 weeks before the MTR mission. To be sent to UNDP Malaysia Country Office and project management. Approximate due date: 8 June 2016
- Presentation: Initial Findings presented to project management and UNDP Malaysia at the end of the MTR mission. Approximate due date: 24 June 2016
- Draft Final Report: Full report with annexes within 3 weeks of the MTR mission. Approximate due date: 15 July 2016
- Final Report\*: Revised report with annexed audit trail detailing how all received comments have (and have not) been addressed in the final MTR report. To be sent to the UNDP Malaysia within 2 weeks of receiving UNDP and stakeholders’ comments on draft. Approximate due date: 15 August 2016

\*The final MTR report must be in English. If applicable, UNDP Malaysia may choose to arrange for a translation of the report into Malay language – the official language more widely shared by national stakeholders.

## E. Institutional Arrangement

***The Commissioning Unit for this project’s MTR is UNDP Malaysia Country Office. UNDP Malaysia will contract the MTR National Protected Area Specialist and ensure the timely provision of per diems and travel arrangements within the country for the MTR team. The Project Team will be responsible for liaising with the MTR team to provide all relevant documents, set up stakeholder interviews, and arrange field visits.***

## F. Duration of the Work

The total duration of the MTR will be 50 working days starting 30 May 2016, and shall not exceed six months from when the National Protected Area Specialist is hired. The tentative MTR timeframe is as follows:

- 13 May 2016: Application closes
  - 16 May 2016: Selection of MTR National Protected Area Specialist and team members
  - 23 – 27 May 2016: Prep the MTR Team (handover of project documents)
  - 30 May – 3 June 2016 (5 days): Document review and preparing MTR Inception Report
-

- 6 – 10 June 2016 (5 days): Finalization and Validation of MTR Inception Report- latest start of MTR mission
- 12 – 26 June 2016 (15 days): MTR mission: stakeholder meetings, interviews, field visits
- 24 June 2016: Mission wrap-up meeting & presentation of initial findings- earliest end of MTR mission
- 27 June – 11 July 2016 (15 days): Preparing draft report
- 18 – 29 July 2016 (5 days): Incorporating audit trail on draft report/Finalization of MTR report
- 1 – 5 August 2016 (2 days): Preparation & Issue of Management Response
- 11 August 2016 (3 days): Planning the Concluding Stakeholder Workshop (only MTR National Protected Area Specialist and Social Scientist participate)
- 31 August 2016: Expected date of full MTR completion

The start date of contract is 30 May 2016.

#### **G. Duty Station**

All travels within Malaysia will be arranged by UNDP Malaysia and Project Team except domestic travel from home base to Kuala Lumpur/Putrajaya. All related travel expenses will be covered and will be reimbursed as per UNDP rules and regulations upon submission of an F-10 claim form and supporting documents.

#### **Travel:**

- The Basic Security in the Field II and Advanced Security in the Field courses must be successfully completed prior to commencement of travel;
- Individual Consultants are responsible for ensuring they have vaccinations/inoculations when travelling to certain countries, as designated by the UN Medical Director.
- Consultants are required to comply with the UN security directives set forth under <https://dss.un.org/dssweb/>.

### **REQUIRED SKILLS AND EXPERIENCE**

#### **H. Qualifications of the Successful Applicants**

The selection of National Protected Area Specialist will be aimed at maximising the overall “team” qualities in the following areas:

- A Master’s degree or higher in biodiversity conservation, ecology, environmental or natural resource management, park/protected area management, wildlife conservation/management, or other closely related field.
  - Experience applying logical framework analysis and SMART targets in project design and management;
  - Competence in adaptive management, as applied to biodiversity focal area;
  - Experience with result-based management evaluation methodologies for at least 3 years;
    - Experience working with project evaluation/review for at least 3 years;
    - Experience working in Malaysia and South-East Asian region;
  - Work experience in protected area conservation or management for at least 10 years;
  - Excellent communication skills;
  - Demonstrated analytical skills;
  - Project evaluation/review experiences within United Nations system or international organizations will be considered an asset
-

***Consultant Independence:***

The consultants cannot have participated in the project preparation, formulation, and/or implementation (including the writing of the Project Document) and should not have a conflict of interest with project’s related activities.

**APPLICATION PROCESS**

**I. Scope of Price Proposal and Schedule of Payments**

***Financial Proposal:***

- Financial proposal must be “all inclusive” and expressed in a lump-sum for the total duration of the contract. The term “all inclusive” implies all cost (professional fees, domestic travel costs, living allowances etc.);
- For duty travels, the UN’s Daily Subsistence Allowance (DSA) rates should provide indication of the cost of living in a duty station/destination.
- The lump sum is fixed regardless of changes in the cost components.

***Schedule of Payments:***

20% of payment upon approval of the MTR Inception Report  
30% upon submission of the draft MTR Report  
50% upon finalization of the MTR Report

Or, as otherwise agreed between UNDP Malaysia and MTR National Protected Area Specialist.

**J. Recommended Presentation of Offer**

- e) Completed **Letter of Confirmation of Interest and Availability** (Annex 1) provided by UNDP;
- f) **Personal CV or a [P11 Personal History form](#)**, indicating all past experience from similar projects, as well as the contact details (email and telephone number) of the Candidate and at least three (3) professional references;
- g) **Brief description of approach to work/technical proposal** of why the individual considers him/herself as the most suitable for the assignment, and a proposed methodology on how they will approach and complete the assignment; (max 1 page)
- h) **Financial Proposal** (Annex 2) that indicates the all-inclusive fixed total contract price, supported by a breakdown of costs, as per template provided. If an applicant is employed by an organization/company/institution, and he/she expects his/her employer to charge a management fee in the process of releasing him/her to UNDP under Reimbursable Loan Agreement (RLA), the applicant must indicate at this point, and ensure that all such costs are duly incorporated in the financial proposal submitted to UNDP.

Incomplete applications will be excluded from further consideration.

**K. Criteria for Selection of the Best Offer**

The award of the contract will be made to the Individual Consultant who has obtained the highest Combined Score and has accepted UNDP’s General Terms and Conditions. Only those applications which are responsive and compliant will be evaluated. The offers will be evaluated using the “Combined Scoring method” where:

- c) The educational background and experience on similar assignments will be weighted a max. of 70%;
- d) The price proposal will weigh as 30% of the total scoring.



## **UNDP-GEF MIDTERM REVIEW**

### **SOCIAL SCIENTIST**

### **TERMS OF REFERENCE**

#### **BASIC CONTRACT INFORMATION**

**Location:** Home-based with travel to Kuala Lumpur, Taman Negara National Park, Kuantan, Ipoh, Royal Belum State Park, Johor Bahru and Endau-Rompin National Park, Malaysia

**Application Deadline:** 27 May 2016

**Additional Category:** Sustainable Development and Poverty Reduction

**Type of Contract:** Individual Contract

**Post Level:** National Consultant

**Languages Required:** English, Malay

**Starting Date:** 1 July 2016

**Duration of Initial Contract:** 6 months (1 July 2016 – 31 December 2016)

**Expected Duration of Assignment:** 30 working days

#### **BACKGROUND**

##### **A. Project Title**

Enhancing Effectiveness and Financial Sustainability of Protected Areas in Malaysia

##### **B. Project Description**

This is the Terms of Reference for the UNDP-GEF Midterm Review (MTR) of the full-sized project titled *Enhancing Effectiveness and Financial Sustainability of Protected Areas in Malaysia* (PIMS#3967) (also known as PA Financing project) implemented by the Department of Wildlife and National Parks in Malaysia, which is to be undertaken in June 2016. The project started on the 5 June 2012 and is in its fifth year of implementation. The project is scheduled to end on 30 June 2019. In line with the UNDP-GEF Guidance on MTRs, this MTR process was initiated before the submission of the fourth Project Implementation Report (PIR). The MTR process must follow the guidance outlined in the document *Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* (see [http://web.undp.org/evaluation/documents/guidance/GEF/mid-term/Guidance\\_Midterm%20Review%20EN\\_2014.pdf](http://web.undp.org/evaluation/documents/guidance/GEF/mid-term/Guidance_Midterm%20Review%20EN_2014.pdf)).

---



The PA Financing project was designed to address the sub-optimal management and inadequate resources invested in the protected area system in Malaysia with primary focus on the three protected area networks covering a total area of 2.98 million hectares, managed by the Federal Department of Wildlife and National Parks, Johor National Parks Corporation and Perak State Parks Corporation.

The objective of the project is to establish a performance-based financing structure to support effective protected area system management in Malaysia. Interventions to achieve this objective are structured into three outcome components, designed to address barriers at the national, sub-national network and site PA levels respectively:

**Outcome 1:** Systemic and institutional capacities to manage and financially support a national PA system by addressing barriers at the national systems level to improve management effectiveness and financial sustainability of protected areas.

**Outcome 2:** Technical and institutional capacities to manage sub-national PA networks, including capacities for effective financial management by strengthening the sub-PA network capacity to be able to meet the management standards set under Outcome 1 so as to decrease funding gap of the PA network.

**Outcome 3:** Effective site-level PA management by improving basic PA management capacities where required, and will also enhance the management and business planning skills of PA managers, to enable the PA system to maximize revenue generation and to streamline costs.

See the signed project document at [http://www.my.undp.org/content/malaysia/en/home/operations/projects/environment\\_and\\_energy/enhancing-effectiveness-and-financial-sustainability-of-protecte.html](http://www.my.undp.org/content/malaysia/en/home/operations/projects/environment_and_energy/enhancing-effectiveness-and-financial-sustainability-of-protecte.html).

## **DUTIES AND RESPONSIBILITIES**

### **C. Scope of Work and Key Tasks**

The MTR will assess progress towards the achievement of the project objectives and outcomes as specified in the Project Document and programme outcomes as stipulated in the Country Programme Action Plan (CPAP) 2016 – 2020 between UNDP and the Government of Malaysia, and assess early signs of project success or failure with the purpose of identifying the necessary changes to be made in order to set the project on-track to achieve its intended results. The MTR will also review the project’s strategy and its risks to sustainability. The MTR must provide evidence based information that is credible, reliable and useful.

The MTR Social Scientist reports to the MTR Lead Consultant. He/She will perform the key tasks as follows:

- Conduct a document review of project documents i.e. Country Programme Action Plan (CPAP) 2016 – 2020 between UNDP and Government of Malaysia, Project Identification Form (PIF), UNDP Initiation Plan, Project Document, Environmental and Social Safeguard Policy (ESSP), Project Inception Report, Project Implementation Reviews, Project Appraisal Committee meeting minutes, Financial and Administration guidelines used by Project Team, project operational guidelines, manuals and systems, etc.; provided by UNDP Malaysia Country Office and Project Team.
- Facilitate in a MTR inception workshop to clarify their understanding of the objectives and methods of the MTR, producing the MTR inception report thereafter by providing expertise and knowledge on social and gender mainstreaming in biodiversity/protected area management.
- Conduct field missions that consist of interviews with stakeholders who have project responsibilities and site visits to Kuala Lumpur, Taman Negara National Park, Kuantan, Ipoh, Royal Belum State Park, Johor Bahru and Endau-Rompin National Park.

- Assess the following four categories of project progress based on the *Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* for requirements on ratings. No overall rating is required.
- Produce relevant chapters of a draft and final MTR report as assigned by MTR Lead Consultant.
- Plan with Lead Consultant and present the final MTR report in the MTR Concluding Stakeholder Workshop, particularly on the aspect of social and gender mainstreaming.

### 3. Project Strategy

#### *Project Design:*

- Review the problem addressed by the project and the underlying assumptions. Review the effect of any incorrect assumptions or changes to the context to achieving the project results as outlined in the Project Document.
- Review the relevance of the project strategy and assess whether it provides the most effective route towards expected/intended social and gender related results stipulated in the project document/inception report and the CPAP 2016 – 2020.
- Review how the project addresses country priorities. Review country ownership. Was the project concept in line with the national and sector development priorities and plans in Malaysia?
- Review decision-making processes: were perspectives of those who would be affected by project decisions, those who could affect the outcomes, and those who could contribute information or other resources to the process, taken into account during project design processes?
- Review the extent to which relevant social and gender issues were raised in the project design. See *Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* for further guidelines.
- Review and verify gender marker of the project.
- If there are major areas of concern, recommend areas for improvement.

#### *Results Framework/Logframe:*

- Undertake a critical analysis of the project’s logframe indicators and targets related to social and gender, assess how “SMART” the midterm and end-of-project targets are (Specific, Measurable, Attainable, Relevant, Time-bound), and suggest specific amendments/revisions to the targets and indicators as necessary.
- Examine if progress so far has led to, or could in the future catalyse beneficial development effects (i.e. income generation, gender equality and women’s empowerment, local and indigenous community empowerment, improved governance etc.) that should be included in the project results framework and monitored on an annual basis.

### 4. Progress Towards Results

- Review the logframe indicators against progress made towards the end-of-project targets; populate the Progress Towards Results Matrix, as described in the *Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects*; colour code progress in a “traffic light system” based on the level of progress achieved; assign a rating on progress for the project objective and each outcome; make recommendations from the areas marked as “not on target to be achieved” (red).
  - Compare and analyse the GEF Tracking Tool at the Baseline with the one completed right before the Midterm Review.
  - Identify remaining barriers to achieving the project objective.
  - Review the aspects of the project that have already been successful and identify ways in which the project can further expand these benefits.
-

## 5. Project Implementation and Adaptive Management

Using the *Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects*; assess the following categories of project progress:

- Management Arrangements
- Work Planning
- Finance and co-finance
- Project-level monitoring and evaluation systems
- Stakeholder Engagement especially local and indigenous communities
- Reporting
- Communications

## 6. Sustainability

Assess overall risks to sustainability factors of the project in terms of the following four categories:

- Financial risks to sustainability
- Socio-economic risks to sustainability
- Institutional framework and governance risks to sustainability
- Environmental risks to sustainability

***The Social Scientist will include a section in the MTR report setting out the MTR’s evidence-based conclusions, in light of the findings.***

Additionally, the Social Scientist is expected to make **recommendations** related to social and gender mainstreaming in protected area finance and management to the Implementing Partners and Project Team. Recommendations should be succinct suggestions for critical intervention that are specific, measurable, achievable, and relevant. A recommendation table should be put in the report’s executive summary. The MTR team should make no more than 15 recommendations in total.

## D. Expected Outputs and Deliverables

The Social Scientist shall prepare and submit:

- MTR Inception Report: MTR team clarifies objectives and methods of the Midterm Review no later than 2 weeks before the MTR mission. To be sent to UNDP Malaysia Country Office and project management. Approximate due date: 8 July 2016
- Presentation: Initial Findings presented to project management and UNDP Malaysia at the end of the MTR mission. Approximate due date: 29 July 2016
- Draft Final Report: Full report with annexes within 3 weeks of the MTR mission. Approximate due date: 19 August 2016
- Final Report\*: Revised report with annexed audit trail detailing how all received comments have (and have not) been addressed in the final MTR report. To be sent to the UNDP Malaysia within 2 weeks of receiving UNDP and stakeholders’ comments on draft. Approximate due date: 2 September 2016

\*The final MTR report must be in English. If applicable, UNDP Malaysia may choose to arrange for a translation of the report into Malay language – the official language more widely shared by national stakeholders.

## E. Institutional Arrangement

***The Commissioning Unit for this project’s MTR is UNDP Malaysia Country Office. UNDP Malaysia will***

---

***contract the MTR Social Scientist and ensure the timely provision of per diems and travel arrangements within the country for the MTR team. The Project Team will be responsible for liaising with the MTR team to provide all relevant documents, set up stakeholder interviews, and arrange field visits.***

#### **F. Duration of the Work**

The total duration of the MTR will be 30 working days starting 30 May 2016, and shall not exceed six months from when the Social Scientist is hired. The tentative MTR timeframe is as follows:

- 27 May 2016: Application closes
- 30 May - 2016: Selection of MTR Social Scientist and team members
- 23 – 27 May 2016: Prep the MTR Team (handover of project documents)
- 30 May – 3 June 2016 (3 days): Document review and preparing MTR Inception Report
- 6 – 10 June 2016 (2 days): Finalization and Validation of MTR Inception Report- latest start of MTR mission
- 12 – 26 June 2016 (10 days): MTR mission: stakeholder meetings, interviews, field visits
- 24 June 2016: Mission wrap-up meeting & presentation of initial findings- earliest end of MTR mission
- 27 June – 11 July 2016 (10 days): Preparing draft report
- 18 – 29 July 2017 (2 days): Incorporating audit trail on draft report/Finalization of MTR report
- 1 – 5 August 2016 (2 days): Preparation & Issue of Management Response
- 11 August 2016 (1 days): Planning the Concluding Stakeholder Workshop (only MTR National Protected Area Specialist and Social Scientist participate)
- 31 December 2016: Expected date of full MTR completion

The start date of contract is 1 July 2016.

#### **G. Duty Station**

All travels within Malaysia will be arranged by UNDP Malaysia and Project Team except domestic travel from home base to Kuala Lumpur/Putrajaya. All related travel expenses will be covered and will be reimbursed as per UNDP rules and regulations upon submission of an F-10 claim form and supporting documents.

#### **Travel:**

- The Basic Security in the Field II and Advanced Security in the Field courses must be successfully completed prior to commencement of travel;
- Individual Consultants are responsible for ensuring they have vaccinations/inoculations when travelling to certain countries, as designated by the UN Medical Director.
- Consultants are required to comply with the UN security directives set forth under <https://dss.un.org/dssweb/>.

### **REQUIRED SKILLS AND EXPERIENCE**

#### **H. Qualifications of the Successful Applicants**

The selection of Social Scientist will be aimed at maximising the overall “team” qualities in the following areas:

- A Master’s degree or higher in social science, community development, gender and development studies, or other closely related field.
- Experience applying logical framework analysis and SMART targets in project design and management;
  - Experience working with project evaluation/review for at least 2 years;
  - Experience working in Malaysia and South-East Asian region;

- Work experience in community development, gender and environment for at least 5 years;
- Excellent communication skills;
- Demonstrated analytical skills;
- Project evaluation/review experiences within United Nations system or international organizations will be considered an asset

***Consultant Independence:***

The consultants cannot have participated in the project preparation, formulation, and/or implementation (including the writing of the Project Document) and should not have a conflict of interest with project’s related activities.

**APPLICATION PROCESS**

**I. Scope of Price Proposal and Schedule of Payments**

***Financial Proposal:***

- Financial proposal must be “all inclusive” and expressed in a lump-sum for the total duration of the contract. The term “all inclusive” implies all cost (professional fees, domestic travel costs, living allowances etc.);
- For duty travels, the UN’s Daily Subsistence Allowance (DSA) rates should provide indication of the cost of living in a duty station/destination.
- The lump sum is fixed regardless of changes in the cost components.

***Schedule of Payments:***

20% of payment upon approval of the MTR Inception Report

30% upon submission of the draft MTR Report

50% upon finalization of the MTR Report

Or, as otherwise agreed between UNDP Malaysia and MTR Social Scientist.

**J. Recommended Presentation of Offer**

- i) Completed **Letter of Confirmation of Interest and Availability** (Annex 1) provided by UNDP;
- j) **Personal CV or a [P11 Personal History form](#)**, indicating all past experience from similar projects, as well as the contact details (email and telephone number) of the Candidate and at least three (3) professional references;
- k) **Brief description of approach to work/technical proposal** of why the individual considers him/herself as the most suitable for the assignment, and a proposed methodology on how they will approach and complete the assignment; (max 1 page)
- l) **Financial Proposal** (Annex 2) that indicates the all-inclusive fixed total contract price, supported by a breakdown of costs, as per template provided. If an applicant is employed by an organization/company/institution, and he/she expects his/her employer to charge a management fee in the process of releasing him/her to UNDP under Reimbursable Loan Agreement (RLA), the applicant must indicate at this point, and ensure that all such costs are duly incorporated in the financial proposal submitted to UNDP.

Incomplete applications will be excluded from further consideration.

**K. Criteria for Selection of the Best Offer**

The award of the contract will be made to the Individual Consultant who has obtained the highest Combined Score and has accepted UNDP’s General Terms and Conditions. Only those applications which are responsive and compliant will be evaluated. The offers will be evaluated using the “Combined Scoring method” where:

- The educational background and experience on similar assignments will be weighted a max. of 70%;
  - The price proposal will weigh as 30% of the total scoring
-

## ANNEX G. RATINGS SCALES

Ratings scales presented here are as per guidance in: *UNDP-GEF Directorate. 2014. Project-Level Monitoring: Guidance for Conducting Mid-term Reviews of UNDP-Supported, GEF-Financed Projects.*

<b>Ratings for Progress Towards Results: (one rating for each outcome and for the objective)</b>		
6	Highly Satisfactory (HS)	The objective/outcome is expected to achieve or exceed all its end-of-project targets, without major shortcomings. The progress towards the objective/outcome can be presented as “good practice”.
5	Satisfactory (S)	The objective/outcome is expected to achieve most of its end-of-project targets, with only minor shortcomings.
4	Moderately Satisfactory (MS)	The objective/outcome is expected to achieve most of its end-of-project targets but with significant shortcomings.
3	Moderately Unsatisfactory (HU)	The objective/outcome is expected to achieve its end-of-project targets with major shortcomings.
2	Unsatisfactory (U)	The objective/outcome is expected not to achieve most of its end-of-project targets.
1	Highly Unsatisfactory (HU)	The objective/outcome has failed to achieve its midterm targets, and is not expected to achieve any of its end-of-project targets.

<b>Ratings for Project Implementation &amp; Adaptive Management: (one overall rating)</b>		
6	Highly Satisfactory (HS)	Implementation of all seven components – management arrangements, work planning, finance and co-finance, project-level monitoring and evaluation systems, stakeholder engagement, reporting, and communications – is leading to efficient and effective project implementation and adaptive management. The project can be presented as “good practice”.
5	Satisfactory (S)	Implementation of most of the seven components is leading to efficient and effective project implementation and adaptive management except for only few that are subject to remedial action.
4	Moderately Satisfactory (MS)	Implementation of some of the seven components is leading to efficient and effective project implementation and adaptive management, with some components requiring remedial action.
3	Moderately Unsatisfactory (MU)	Implementation of some of the seven components is not leading to efficient and effective project implementation and adaptive, with most components requiring remedial action.
2	Unsatisfactory (U)	Implementation of most of the seven components is not leading to efficient and effective project implementation and adaptive management.
1	Highly Unsatisfactory (HU)	Implementation of none of the seven components is leading to efficient and effective project implementation and adaptive management.

Ratings for Sustainability: (one overall rating)		
4	Likely (L)	Negligible risks to sustainability, with key outcomes on track to be achieved by the project's closure and expected to continue into the foreseeable future
3	Moderately Likely (ML)	Moderate risks, but expectations that at least some outcomes will be sustained due to the progress towards results on outcomes at the Midterm Review
2	Moderately Unlikely (MU)	Significant risk that key outcomes will not carry on after project closure, although some outputs and activities should carry on
1	Unlikely (U)	Severe risks that project outcomes as well as key outputs will not be sustained

## ANNEX H. MTR MISSION ITINERARY

	Time	Item	Meeting Venue
<b>Day 1 Fri, 5 May</b>	9:00 am - 10:30 am	Opening meeting	DWNP HQ
	10:30 am - 12:30 pm	Meeting with DWNP Director General, National Project Director and PA Financing team	
	4.00 pm - 5.15pm	Meeting with EPU, Prime Minister's Department	EPU
<b>Day 2 Sat, 6 May</b>	1:00pm - 5:00pm	Travel to Johor Bahru	Overnight in JB (Hotel Granada, Kota Iskandar)
<b>Day 3 Sun, 7 May</b>	9:00 am - 11:30am	Meeting with Johor state agencies (UPEN, JNPC, DWNP, Forestry and NGOs - WCS)	UPEN JOHOR
	11.30 am – 1.00 pm	Interview with JNPC (including staff who attended the WII & Korean Friendship course)	JNPC
	2.00 pm – 7:30 pm	Travel Johor-Kahang- Endau-Rompin Kg Peta	Overnight in Kg Peta, Endau Rompin National Park
<b>Day 4 Mon, 8 May</b>	8.00 am – 1.00 pm	Site visit and interview with Orang Asli community in Kg. Peta	Endau-Rompin Kg Peta
	2.00 pm – 8.00 pm	Travel to KL	
<b>Day 5 Tue, 9 May</b>	9.00 am – 11.00 am	Meeting with Biodiversity and Forestry Management Division, Ministry of Natural Resources and Environment (NRE)	Wisma Sumber Asli, NRE
	11.45 am – 3.30 pm	Lunch and travel to Ipoh	Overnight in Ipoh (Tower Regency)
	3.30 pm – 5.00 pm	Meeting with Perak state agencies (UPEN, PSPC, Forestry, DWNP, Finance) and NGOs (WWF, MNS)	UPEN PERAK
<b>Day 6 Wed, 10 May</b>	8.00 am – 10.00 am	Travel to Royal Belum State Park	
	10.30 am – 6.00 pm	Site visit to Royal Belum State Park (PSPC) and interview with Orang Asli communities (Kg. Aman Damai and Kg. Sg. Tiang)	Overnight in Belum Rainforest Resort
<b>Day 7 Thu, 11 May</b>	7.00 am – 11:00 am	Travel to Taman Negara Merapoh	Overnight in Taman Negara National Park (Mutiara Resort)
	11.00 am – 1.30 pm	Interview with DWNP Pahang and local tour operators and communities Site visit to Taman Negara Merapoh (jeep track, Kuala Juram Kelah Sanctuary)	
	2.30 pm – 6.30 pm	Travel to Taman Negara Kuala Tahan	



	Time	Item	Meeting Venue	
Day 8 Fri, 12 May	9.30 am – 11.30 am	Interview with DWNP Taman Negara (DWNP Pahang)	DWNP Tmn Negara, Kuala Tahan	
	11.30 am – 12.30 am	Interview with Mutiara Resort	Mutiara Resort	
	2:45 pm – 3:45 pm	Meeting with local community organisations from Kuala Tahan	DWNP Tmn Negara, Kuala Tahan	
	3:45 pm – 5.00 pm	Site visit to Taman Negara including boat trip up the Tembling River and visit to Orang Asli Batek village	Tmn Negara, Kuala Tahan	
Day 9 Sat, 13 May	8.30 am – 12.30 pm	Site visit to Taman Negara (Hornbill Valley), meet representatives from local communities (Kg. Pagi and Benus Bird Camp) and canopy walk	Taman Negara National Park	
	2.00 pm – 6.00 pm	Travel to KL		
Day 10 Sun, 14 May		Rest day	KL	
Day 11 Mon, 15 May	9.30 am – 12: 00 pm	Meeting with NGOs (WWF, MNS, WCS) and private foundation (Pulau Banding Foundation)	UNDP Office	
	2:00pm - 4:30 pm	Interviews with DWNP staff who attended the WII Advanced Wildlife Course & Korean Friendship Programme		
	6:00 pm – 8:30 pm	Meeting with Mr. Christian Schriver, Management Plans lead consultant	KL Sentral	
Day 12 Tue, 16 May	7.00 am - 10.00 am	Flight to Kuantan	UPEN Pahang, Kuantan	
	10.00 am – 12: 30 pm	Meeting with UPEN Pahang, UPEN Terengganu and UPEN Kelantan		
	2.00 pm - 6.00 pm	Flight to KL		
	Concurrent MTR programme			
	10.00 am - 11.00 am	Meeting with Dr. Sivanathan Elagupillay, PA Specialist, National PA Framework	UNDP Office	
	11.00 am - 12.30 pm	Meeting with Mr. Surin Sukswan, National PA Master List Specialist		
	2.30 pm - 4.00 pm	Meeting with Ms. Preetha Sankar, Business Plan consultant		
Day 13 Wed, 17	9:30 am - 11:00 am	Meeting with UNDP Programme Manager	UNDP Office	
	11:00am – 12:30pm	Skype Meeting with UNDP Regional Technical Advisor, Doley Tshering		

	Time	Item	Meeting Venue
<b>May</b>	2:30pm – 4:00pm	Meeting with National Technical Advisor, Mr. Muthusamy Suppiah	
<b>Day 14 Thu, 18 May</b>	9.30 am – 12.00 pm	Final briefing with UNDP - timeline for MTR report and further information/documentation request	
	2.00 pm - 5.00 pm	MTR team preparation	
<b>Day 15 Fri, 19 May</b>	9.00 am – 12:30 pm	Stakeholder dialogue session on preliminary Midterm Review findings and observations	Shangri-la Putrajaya Hotel

## ANNEX I. CODE OF CONDUCT FOR EVALUATORS/MIDTERM REVIEW CONSULTANTS

### Evaluators/Consultants:

1. Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded.
2. Must disclose the full set of evaluation findings along with information on their limitations and have this accessible to all affected by the evaluation with expressed legal rights to receive results.
3. Should protect the anonymity and confidentiality of individual informants. They should provide maximum notice, minimize demands on time, and respect people's right not to engage. Evaluators must respect people's right to provide information in confidence, and must ensure that sensitive information cannot be traced to its source. Evaluators are not expected to evaluate individuals, and must balance an evaluation of management functions with this general principle.
4. Sometimes uncover evidence of wrongdoing while conducting evaluations. Such cases must be reported discreetly to the appropriate investigative body. Evaluators should consult with other relevant oversight entities when there is any doubt about if and how issues should be reported.
5. Should be sensitive to beliefs, manners and customs and act with integrity and honesty in their relations with all stakeholders. In line with the UN Universal Declaration of Human Rights, evaluators must be sensitive to and address issues of discrimination and gender equality. They should avoid offending the dignity and self-respect of those persons with whom they come in contact in the course of the evaluation. Knowing that evaluation might negatively affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its purpose and results in a way that clearly respects the stakeholders' dignity and self-worth.
6. Are responsible for their performance and their product(s). They are responsible for the clear, accurate and fair written and/or oral presentation of study limitations, findings and recommendations.
7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.

### MTR Consultant Agreement Form

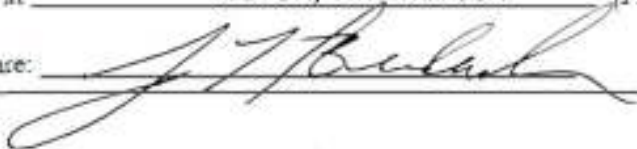
Agreement to abide by the Code of Conduct for Evaluation in the UN System:

Name of Consultant: JAMES T. BERDACH

Name of Consultancy Organization (where relevant): \_\_\_\_\_

I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.

Signed at RESTON, VIRGINIA USA (Place) on 7 APRIL 2017 (Date)

Signature: 

**Evaluators/Consultants:**

1. Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded.
2. Must disclose the full set of evaluation findings along with information on their limitations and have this accessible to all affected by the evaluation with expressed legal rights to receive results.
3. Should protect the anonymity and confidentiality of individual informants. They should provide maximum notice, minimize demands on time, and respect people's right not to engage. Evaluators must respect people's right to provide information in confidence, and must ensure that sensitive information cannot be traced to its source. Evaluators are not expected to evaluate individuals, and must balance an evaluation of management functions with this general principle.
4. Sometimes uncover evidence of wrongdoing while conducting evaluations. Such cases must be reported discreetly to the appropriate investigative body. Evaluators should consult with other relevant oversight entities when there is any doubt about if and how issues should be reported.
5. Should be sensitive to beliefs, manners and customs and act with integrity and honesty in their relations with all stakeholders. In line with the UN Universal Declaration of Human Rights, evaluators must be sensitive to and address issues of discrimination and gender equality. They should avoid offending the dignity and self-respect of those persons with whom they come in contact in the course of the evaluation. Knowing that evaluation might negatively affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its purpose and results in a way that clearly respects the stakeholders' dignity and self-worth.
6. Are responsible for their performance and their product(s). They are responsible for the clear, accurate and fair written and/or oral presentation of study limitations, findings and recommendations.
7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.

**MTR Consultant Agreement Form**

Agreement to abide by the Code of Conduct for Evaluation in the UN System:

Name of Consultant: Yeo Bee Hong

Name of Consultancy Organization (where relevant): \_\_\_\_\_

I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.

Signed at Kota Kinabalu (Place) on 30 April 2017 (Date)

Signature: Yeo Bee Hong



**Evaluators/Consultants:**

1. Must present information that is complete and fair in its assessment of strengths and weaknesses so that decisions or actions taken are well founded.
2. Must disclose the full set of evaluation findings along with information on their limitations and have this accessible to all affected by the evaluation with expressed legal rights to receive results.
3. Should protect the anonymity and confidentiality of individual informants. They should provide maximum notice, minimize demands on time, and respect people's right not to engage. Evaluators must respect people's right to provide information in confidence, and must ensure that sensitive information cannot be traced to its source. Evaluators are not expected to evaluate individuals, and must balance an evaluation of management functions with this general principle.
4. Sometimes uncover evidence of wrongdoing while conducting evaluations. Such cases must be reported discreetly to the appropriate investigative body. Evaluators should consult with other relevant oversight entities when there is any doubt about if and how issues should be reported.
5. Should be sensitive to beliefs, manners and customs and act with integrity and honesty in their relations with all stakeholders. In line with the UN Universal Declaration of Human Rights, evaluators must be sensitive to and address issues of discrimination and gender equality. They should avoid offending the dignity and self-respect of those persons with whom they come in contact in the course of the evaluation. Knowing that evaluation might negatively affect the interests of some stakeholders, evaluators should conduct the evaluation and communicate its purpose and results in a way that clearly respects the stakeholders' dignity and self-worth.
6. Are responsible for their performance and their product(s). They are responsible for the clear, accurate and fair written and/or oral presentation of study limitations, findings and recommendations.
7. Should reflect sound accounting procedures and be prudent in using the resources of the evaluation.

**MTR Consultant Agreement Form**

Agreement to abide by the Code of Conduct for Evaluation in the UN System:

Name of Consultant: Amad Hezi Adnan

Name of Consultancy Organization (where relevant): —

I confirm that I have received and understood and will abide by the United Nations Code of Conduct for Evaluation.

Signed at Aior Setar, Malaysia (Place) on 30 April 2017 (Date)

Signature: 

## **ANNEX J. SIGNED MTR FINAL REPORT CLEARANCE FORM**

To be completed