
Midterm Review Report

UNDP-GEF Project: R2R Strengthening the Management Effectiveness of the National System of Protected Areas

GEF Project ID: 5510

UNDP Project ID: 5261

Country: Papua New Guinea
Region: Asia and the Pacific
Focal Area: Multi-focal area: Biodiversity and Land Degradation (GEF-5)
GEF Agency: United Nations Development Programme
Executing Agencies: Conservation and Environment Protection Authority (Ministry of Environment and Conservation)
Woodlands Park Zoo
Tenkile Conservation Alliance

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Opening Page

PROJECT DETAILS:

Project Name: R2R Strengthening the Management Effectiveness of the National System of Protected Areas

Project ID: UNDP PIMS ID: 5261 GEF Project ID: 5510

Country: Papua New Guinea

Region: Asia and the Pacific

Focal Area: Multi-focal area: Biodiversity and Land Degradation (GEF-5)

Focal Area Objective/Outcome: **BD-1:** Improved sustainability of protected area systems; **Outcome 1.1:** Improved management effectiveness of existing and new protected areas
LD-2: Generate sustainable flows of forest ecosystem services in drylands, including sustaining livelihoods of forest dependent people; **Outcome 2.3:** Sustained flow of services in forest ecosystems in drylands
LD-3: Reduce pressures on natural resources from competing land uses in the wider landscape; **Outcome 3.2:** Integrated landscape management practices adopted by local communities

Funding Source: GEF Trust Fund

Implementing Agency: United Nations Development Programme

Implementation Modality: National Implementation Modality (NIM)

Executing Agencies: Conservation and Environment Protection Authority (Ministry of Environment and Conservation), Woodland Park Zoo, and Tenkile Conservation Alliance

FINANCIALS:

Project Preparation Grant: USD 300,000

GEF Project Grant: USD 10,929,358

Cofinancing Total: USD 44,409,200

GEF Agency Fees: USD 983,642

Total Cost: USD 55,638,558

PROJECT TIMELINE:

Received by GEF: 01 August 2013

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State Date: 13 November 2015

Closing Date (Planned): 11 November 2020

MIDTERM REVIEW DETAILS:

MTR Timeframe: March-June 2019

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MTR Reporting Language: English

Acknowledgements:

The MTR team would like to acknowledge the information and feedback provided by interviewed project stakeholders, including the officials from the project implementing partners, including CEPA, UNDP, WPZ/TKCP and TCA, local beneficiaries in the three target PA landscapes, and other stakeholders.

Contents

Executive Summary	i
Abbreviations and Acronyms	viii
1 Introduction.....	1
1.1 Purpose of the Review	1
1.2 Scope and Methodology	1
1.3 Structure of the Report.....	1
1.4 Rating Scales	1
1.5 Ethics.....	2
1.6 Audit Trail.....	2
1.7 Limitations	2
2 Project Description	2
2.1 Development Context.....	2
2.2 Problems the Project Sought to Address	3
2.3 Project Description and Strategy	3
2.4 Implementation Arrangements	4
2.5 Project Timing and Milestones	5
2.6 Main Stakeholders	6
3 Findings.....	7
3.1 Project Strategy	7
3.1.1 Project Design.....	7
3.1.2 Results Framework	10
3.1.3 Gender Mainstreaming and Social Inclusion Analysis	13
3.2 Progress towards Results.....	13
3.2.1 Progress towards achievement of Global Environmental Benefits	13
3.2.2 Progress towards Objective and Outcomes Analysis	14
3.2.3 Project Outputs	19
3.2.4 Remaining Barriers to Achieving the Project Objective.....	27
3.3 Project Implementation and Adaptive Management	27
3.3.1 Management Arrangements	27
3.3.2 Work Planning	29
3.3.3 Finance and Cofinance	29
3.3.4 Project-level Monitoring and Evaluation Systems.....	33
3.3.5 Stakeholder Engagement and Partnerships	34
3.3.6 Reporting	35
3.3.7 Communications.....	36
3.4 Sustainability.....	37
3.4.1 Financial Risks to Sustainability	39
3.4.2 Socioeconomic Risks to Sustainability	40
3.4.3 Institutional Framework and Governance Risks to Sustainability	40
3.4.4 Environmental Risks to Sustainability.....	41
4 Conclusions and Recommendations.....	41
4.1 Conclusions	41
4.2 Lessons Learned.....	43
4.3 Recommendations.....	43
Annex 1: MTR Mission Itinerary	
Annex 2: List of Persons Interviewed	
Annex 3: Photographs from the MTR field mission	
Annex 4: List of Documents Reviewed	
Annex 5: Evaluation Matrix	
Annex 6: Progress towards Results	
Annex 7: Cofinancing Table	
Annex 8: Rating Scales	
Annex 9: Signed UNEG Code of Conduct Agreement Form	
Annex 10: MTR Terms of Reference	
Annex 11: Signed MTR final report clearance form	
Annexed in separate file: audit trail of comments and responses to draft MTR report	
Annexed in separate file: relevant midterm tracking tools	

List of Tables

Table 1: Project information table	i
Table 2: MTR ratings and achievement summary table.....	ii
Table 3: Recommendations table	vii
Table 4: Project stakeholders.....	6
Table 5: SMART analysis of project results framework (project objective)	10
Table 6: SMART analysis of project results framework (Component 1)	11
Table 7: SMART analysis of project results framework (Component 2)	11
Table 8: Midterm assessment of progress towards global environmental benefits.....	13
Table 9: Progress towards results, project objective	14
Table 10: Progress towards results, Outcome 1	15
Table 11: Summary of baseline and midterm capacity development scorecard assessments of CEPA	16
Table 12: Progress towards results, Outcome 1.3	16
Table 13: Progress towards results, Outcome 2.1	17
Table 14: Progress towards results, Outcome 2.2	18
Table 15: High-value contracts under Component 1	19
Table 16: Project expenditures through midterm (USD)	30
Table 17: Summary of materialized cofinancing by midterm	32

List of Figures

Figure 1: Project organizational chart (taken from Figure 17 of the project document).....	5
Figure 2: Draft theory of change	9
Figure 3: Proposed CEPA organizational structure (first draft)	20
Figure 4: Number of permanent and temporary staff at PA's in PNG	21
Figure 5: Sogeri Dam, sediment monitoring points, 2018	22
Figure 6: YUS land use plan, 2017	23
Figure 7: Slide showing tree kangaroo research results, YUS CA.....	24
Figure 8: Harvesting and marketing of conservation coffee, YUS CA.....	25
Figure 9: Camera trap image of a tree kangaroo at TMR CA, Nov 2018.....	26
Figure 10: Fishpond prototype and eaglewood seedlings, TMR CA.....	26
Figure 11: Financial delivery, 2016-2018	30
Figure 12: Currency exchange (PGK:USD), 2014-2019.....	32
Figure 13: Inflation in PNG, 2014-2019.....	32
Figure 14: Screenshot of "A Home in the Clouds" on UNDP website	36

Executive Summary

The project, approved under the GEF-5 replenishment cycle, is being implemented through a national implementation modality with the Conservation and Environment Protection Authority as the lead implementing partner, supported by the UNDP as the GEF implementation agency. Basic project information is summarized below in **Table 1**.

Table 1: Project information table

Project Title:	R2R Strengthening the Management Effectiveness of the National System of Protected Areas		
UNDP Project ID (PIMS #):	5261	PIF Approval Date:	01 Nov 2013
GEF Project ID (PMIS #):	5510	CEO Endorsement Date:	21 Jul 2015
Award ID:	87986	Project Document (ProDoc) Signature Date (date project began):	13 Nov 2015
Country(ies):	Papua New Guinea	Date project manager hired:	Shared with GEF-4 at start
Region:	Asia and the Pacific	Inception Workshop date:	May 2016
Focal Area:	Multifocal	Midterm Review date:	Mar-May 2019
GEF-5 Focal Area Objectives:	BD-1, LD-2, LD-3	Planned closing date:	11 Nov 2020
Trust Fund:	GEF TF	If revised, proposed closing date:	N/A
Executing Agency:	Conservation and Environment Protection Authority		
Other execution partners:	Woodland Park Zoo, Tenkile Conservation Alliance		
Project Financing:	at CEO endorsement (USD)	at Midterm Review (USD)*	
[1] GEF financing (excl. PPG):	10,929,358	5,941,749	
[2] UNDP contribution:	600,000	Information unavailable	
[3] Government:	38,000,000	534,407	
[4] Other partners:	5,809,200	3,615,148	
[5] Total cofinancing [2 + 3+ 4]:	44,409,200	4,149,555	
PROJECT TOTAL COSTS [1 + 5]	55,338,558	10,091,305	

*Cut-off date for project midterm is 31 March 2019.

Project Description

The project aims to support Government of Papua New Guinea's commitment to operationalize the Protected Area Policy as well as support the transitions from the former Department of Environment and Conservation to the Conservation and Environmental Protection Authority (CEPA). Furthermore, the project strategy includes strengthening the links between central government's policy and institutional systems with newly established decentralized PA governance and management structures and 'bottom up' conservation initiatives that are being established by community landowners and conservation partners in key biodiversity areas throughout the country. Specifically, the project was designed to improve conservation efforts at three important conservation landscapes:

- i. Varirata National Park in Central Province: CEPA will promote public-private partnerships involving communities in protecting the area, whilst encouraging initiatives like recreational and research activities and exploring the area's tourism potential;
- ii. The YUS Conservation Area is between Madang and Morobe and is led by Woodland Park Zoo's Tree Kangaroo Conservation Program in partnership with provincial governments and local communities. This is the first site in PNG declared as a Conservation Area and is dedicated to conserving the endangered Matschie's tree kangaroo (*Dendrolagus matschiei*) and its habitats.
- iii. The proposed Torricelli Mountain Range Conservation Area is between East and West Sepik Provinces and led by the Tenkile Conservation Alliance is also involved in the conservation of two critically endangered tree kangaroo (Tenkile and Weimag) and a vulnerable species of grizzled tree kangaroo.

The project duration is 5 years, starting from 13 November 2015 and scheduled to close on 11 November 2020. Implementation is funded with a USD 10,929,358 GEF project grant and USD 44,409,200 of cofinancing, contributed

from CEPA, the UNDP, the two responsible parties (Tenkile Conservation Alliance and the Woodland Park Zoo), the Tree Kangaroo Conservation Program and the YUS conservation organization.

Purpose and Methodology

The objective of the MTR was to gain an independent analysis of the progress midway through the project. The MTR focused on identifying potential project design problems, assessing progress towards the achievement of the project objective, and identifying and documenting lessons learned about project design, implementation, and management. Findings of this review will be incorporated as recommendations for enhanced implementation during the final half of the project’s term. The project performance was measured based on the indicators of the project results framework and relevant GEF tracking tools. The MTR was an evidence-based assessment and relied on feedback from persons who have been involved in the design, implementation, and supervision of the project, as well as beneficiaries of project interventions, and review of available documents and findings of the field mission.

Project Progress Summary

The project officially started in November 2015 and activities started shortly afterwards, in 2016. The inception workshops were held in May 2016, but there were activities initiated prior to that time.

Development of the Protected Areas Policy Implementation Plan and formulating restructuring plans were among the first activities started under Component 1. Many of the other Component 1 activities were initiated in late 2017 and early 2018, and this is reflected in the fact that 39% of the indicative budget for this component was spent by the end of 2018. The sedimentation study for the Sirinumu Dam and downstream reaches of the Laloki River has been completed and the final report was under preparation at the time of the midterm review. Technical and financial support to the management of the Varirata National Park (NP) has been limited, e.g., recruitment of PA staff with GEF funds has not materialized as planned.

The two NGO responsible parties, WPZ/TKCP and TCA, have worked in the YUS Conservation Area (CA) and Torricelli Mountain Range (TMR) conservation landscape for several years, and were able to commence implementation of project activities shortly after the November 2015 start date. After several applications to CEPA over the years, there is a reasonably high likelihood that the proposed 185,000-ha TMR CA will be approved before the end of the project. WPZ/TKCP has also submitted their re-gazettal application for expanding the YUS CA by 75,000 ha, which also is likely to be realized by project closure.

Management effectiveness, as measured by the management effectiveness tracking tool (METT), has improved for each of the three target conservation areas; the METT for the Varirata NP has increased from 27% at baseline to 54.9% in March 2019; the METT for the YUS CA has increased from a baseline of 57% to 69% in March 2019; and the TMR conservation area (proposed) has increased from a baseline of 57% to 69% in March 2019.

In terms of progress towards impact, the two NGO responsible parties have a wealth of research data on the target species in the YUS CA and TMR CA. Data continue to be collected and more detailed information is expected by project closure. Achievement of stable or increasing populations is the established performance target; there are additional data to share, e.g., regarding distribution and abundance. There has also been progress towards achieving environmental stress reduction, e.g., through the likely expansion of the PA system by 260,000 ha and reaching consensus among the customary landowners in the process and increased awareness among local communities remains a challenge, and there have been advances in alternative livelihood ventures, including increased production and export of conservation coffee in the YUS CA from the baseline of 2.5 tons in 2014 to 30 tons, 45 tons and 29.5 tons in 2016, 2017 and 2018, respectively.

There have been two project steering committee meetings, one in August 2017 and the other in November 2018. Combined financial delivery was 73%, 66% and 95% in 2016, 2017 and 2018, respectively. By 31 March 2019, 54% of the 10,929,358 GEF project grant had been expended. An estimated USD 4.15 million of cofinancing has materialized by midterm; this is less than 10% of the USD 44.4 million confirmed at CEO endorsement.

Midterm Review Ratings

MTR ratings and a summary of achievements are presented below in **Table 2**.

Table 2: MTR ratings and achievement summary table

Measure	MTR Rating	Achievement Description
Project Strategy	Not Rated	The multifocal area project is aligned to Objective 1 of the GEF-5 biodiversity strategy and Objectives 2 and 3 of the GEF-5 land degradation strategy. With regard to the biodiversity focal area strategy, Output 2 under Objective BD-1 might have been more appropriate, as the envisaged protected area expansions are focusing on unprotected threatened species (tree

Measure	MTR Rating	Achievement Description
		<p>kangaroo); Output 1 is focused on unprotected ecosystems. And, it is unclear why Objective LD-2 was included under the project strategy, as the target landscapes are tropical forest ecosystems. Component 1 was designed to address Barrier 1 identified in the situation analysis, i.e., inadequate institutional and technical capacities and financial resources to manage and support an effective PA system. Strengthening the management effectiveness of the Varirata National Park (NP) was included in Component 1, as this is one of the more popular national parks in the country, located close to the capital Port Moresby and directly managed by CEPA. Moreover, the Varirata NP is situated within the Sogeri landscape, which supports key ecological services, including water resources for electrical power generation and potable drinking water supply. This project provided an opportunity to support the national and provincial government stakeholders with integrating the management objectives of the NP within the broader landscape, with the aim of delivering mutually beneficial conservation and livelihood outcomes.</p> <p>Component 2 was designed in response to Barrier 2, i.e., local communities and local conservation actors lack access to comprehensive institutional and technical support and stable and predictable financial resources for PA management. Two PA landscapes were selected: (1) the YUS Conservation Area (CA), which was declared in 2009, and (2) the Torricelli Mountain Range (TMR) landscape, that is proposed to be declared as a conservation area. The NGOs operating in these landscapes have managed the conservation landscapes for a number of years.</p> <p>There were shortcomings in the project design with respect to coherence, e.g., there was no common knowledge management strategy proposed, no common gender assessment or strategy and limited cross-learning and sharing of resources across the three target landscapes.</p> <p>There was no evidence available of a validation workshop being held prior to finalizing the project document; the baseline information regarding sedimentation in the Sirinumu dam and Laloki River was unsubstantiated, budget allocations were unclear to some of the implementing partners and there was reportedly limited validation of some of the M&E tools, including the METT assessments and capacity development scorecards.</p> <p>Social and environmental risks screened during the project development phase using the UNDP Social and Environmental Screening Procedure (SESP) and an overall MODERATE risk rating was applied. The risks listed in the SESP were not fully consistent with the risks included in the main body of the report, e.g., gender and climate change risks were not identified in the SESP but are included in the risk log for the project.</p>
<p>Progress towards Results</p>	<p>Objective Achievement: Moderately Satisfactory</p>	<p>Capacity improvements have been reported according to midterm capacity development scorecard assessments. The appropriateness of this tool in measuring capacities of provincial government departments and NGOs and the reliability of self-assessment results are questionable.</p> <p>Reasonably high likelihood that the PA expansion target of 255,000 ha will be realized by project closure, and the number of villages directly benefitting from community based livelihood activities is more than 60 between the YUS CA and TMR CA landscapes.</p> <p>Advances have been made in terms of strengthening institutional framework, including development of the protected area policy implementation plan, draft biodiversity offsets policy and proposed CEPA restructuring plan. Operationalizing these outputs is uncertain due to the limited involvement of CEPA staff on the project.</p>
	<p>Outcome 1: Moderately satisfactory</p>	<p>Capacity improvements for CEPA have been reported according to midterm capacity development scorecard assessment. However, implementation of the restructuring plan has been put on hold and there is limited involvement of CEPA staff on project activities. Extensive trainings have been delivered.</p> <p>The development of the PA policy implementation plan is an important achievement. Draft standards and guidelines for PA management have been formulated and require CEPA review, clearance and institutionalization.</p> <p>The management effectiveness of the Varirata NP, measured by the METT, was assessed at 54.9% in February 2019, compared to a baseline of 27%. Project technical and financial assistance to the NP has been limited, however.</p> <p>Gathering background information and stakeholder consultations have been initiated for the Sogeri Plateau land use plan; the plan itself is planned to be developed during the remaining project implementation timeframe. The end target associated with reducing sedimentation levels in the Laloki River should be reconsidered, based on the results reported in the sedimentation study completed.</p>

Measure	MTR Rating	Achievement Description
	<p>Outcome 2: Satisfactory</p>	<p>Capacity improvements have been reported according to midterm capacity development scorecard assessments. The appropriateness of this tool in measuring capacities of provincial government departments and NGOs and the reliability of self-assessment results are questionable.</p> <p>Management effectiveness, measured using the METT, has improved for both the YUS CA and TMR CA, approaching the end targets. The TMR CA is likely to be declared and the YUS CA expanded by project closure. The YUS CA has expanded their integrated land use plan accordingly. The TMR CA has completed village level land use planning and intends to consolidate these into an integrated plan for the conservation area.</p> <p>Populations of the target species in the YUS CA and TMR CA are reportedly stable or increasing, but there has been limited reporting of field monitoring results.</p> <p>Coffee production in the YUS CA in the 2016-2018 have been close to or exceeding the end-of-project target of >30 tons. Cocoa production has been impacted by the pod borer pest during the period of 2016-2018; TKCP is currently carrying out a market assessment for cocoa production in the conservation area.</p> <p>Coffee farmers in the YUS CA reportedly received more than USD 200 per household from coffee sales, and the Morobe Provincial Government has committed providing the YUS Conservation Coffee initiative with PGK 50,000 (approx. USD 15,000) per year and an additional USD 150,000 (approx. USD 45,000) is pledged for subsidizing air freight costs of the coffee to the milling operation.</p> <p>TCA has calculated total investments made in the conservation landscape among more than 50 villages and extrapolated more than USD 200 per household have been delivered. Monetary commitments have been made from provincial and local governments, but limited realized to date. The methodology for estimating performance against Indicator 2.7 needs to be elaborated.</p>
<p>Project Implementation and Adaptive Management</p>	<p>Moderately satisfactory</p>	<p>The project is being implemented under a fully supported national implementation modality, with the UNDP as the GEF implementing agency, CEPA as the lead implementing partner and WPZ and TCA as responsible parties.</p> <p>The project management unit is under-staffed and there is a lack of clarity of the role of the project manager – a term that is better suited to the function than “international technical coordinator”.</p> <p>Until September 2018, the project manager was also overseeing the ongoing GEF-4 project; the MTR team considers that arrangement as an unrealistic burden and counter-productive for the management of two full-sized GEF projects.</p> <p>A part-time chief technical advisor was budgeted for the project but only staffed during the first year of implementation and the focus of the CTA was on Component 1 activities, with limited technical assistance delivered to the interventions under Component 2</p> <p>There have been shortcomings with respect to project efficiency, including financial management shortcomings identified in spot checks and independent financial audits of two responsible parties, WPZ/TKCP and TCA. Many of the issues highlighted in the audits were flagged in the financial management capacity (HACT) assessments made during the project development phase. TKCP has added a finance manager to their organization and TCA has indicated that they will seek the support of a professional financial services provide; financial management risks should be highlighted in the project’s risk management process. Project management costs totaled USD 470,139 through 31 March 2019, which is 94% of the USD 500,000 allocated; costs allocated to project management need to be reconciled.</p> <p>There is also room for improvement in terms of monitoring & evaluation, e.g., providing candid accounts of challenges in project progress reports, tracking cofinancing contributions and identifying and operationalizing synergies, and orienting M&E efforts with respect to progress towards impact considerations. Some of indicators and performance metrics in the project results framework are unclear and outdated.</p> <p>Funds were allocated in the indicative budget breakdown in the project document for participating in joint trainings or meetings of the UNDP-GEF Pacific Ridge to Reef (R2R) programme; although this project is designed as a R2R project, there has been no interaction with the regional R2R programme.</p>
<p>Sustainability</p>	<p>Moderately likely</p>	<p>One of the key strengths of the project is the focus on the participation of local communities in the target conservation landscapes. The strengthened capacities of these communities in collaborative PA management and operating sustainable livelihood ventures enhance the prospects that project results will be sustained after GEF funding ceases. There remain capacity shortcomings, however, further external support will likely be required over at least the short to medium term. These risks are partly mitigated through the continued technical and financial assistance from multilateral and bilateral donors helps to mitigate these risks and the fund-raising skills and innovative approaches delivered by international and domestic NGOs and foundations. But, there has been insufficient collaboration with complementary projects and programs, including those funded by JICA and the Australian Government, and there has been very limited</p>

Measure	MTR Rating	Achievement Description
		<p>cross-learning among the implementation teams on the project, i.e., CEPA, TCA and WPZ/TKCP. And, there is no holistic capacity development approach to strengthen the capacities of community based organizations, which are critical enabling stakeholders for sustaining conservation objectives in the long-term.</p> <p>With respect to institutional framework, the PA policy implementation plan is an important achievement and contributes towards project sustainability. The draft biodiversity offsets policy that is currently under development further enhances sustainability, and the approved GEF-6 project focuses on sustainable PA financing and is well positioned to support CEPA in advancing the operationalization of biodiversity offsets in the country.</p> <p>The limited involvement of CEPA staff on project activities and the unclear pathways for institutionalizing some of the project outputs significantly diminishes project sustainability.</p> <p>There continues to be very little government funding allocated for conservation and the proposed CEPA restructuring plans have been put on hold. And, there is no clear timeline for approval of the proposed PA bill; and the risk for further delays is increased due to the changes in government and institutional leadership positions at the end of May 2019.</p> <p>Regarding gender and youth mainstreaming, gender equity is addressed with respect to community representatives and women are involved in some of the livelihood activities, e.g., the conservation commodities at the YUS CA, TKCP's One Health and June Ranger program involve youth and women, and women and youth are actively involved at the TMR CA. Nevertheless, there is room for improvement with respect to involvement of women and youth.</p> <p>Due to the wealth of natural resources in PNG, development pressures from the mineral, oil & gas and forestry sectors impact project sustainability. And, it will take time to transition PA management oversight of community conservation areas to sub-national governmental stakeholders. In the long-term, it will be necessary to reach sustainable management of the PA system in PNG in a way that matches local capacities and traditional knowledge, while pragmatically addressing the key threats to biodiversity and ecosystem services. Key threats noted in the target PA's include hunting and traditional slash and burn cultivation practices for subsistence farming.</p>

Summary of Conclusions

The project strategy is predicated on strengthening the enabling environment for achieving and sustaining effective management of existing PA's and leads to an expansion of the national PA system that partly devolves conservation governance to local communities.

The project has facilitated further advancement of PA policy frameworks, including development of the Protected Area Policy Implementation Plan, which is an important step towards operationalizing the Protected Area Policy approved in 2014 with support of the GEF-4 financed project. Furthermore, a biodiversity offsets policy is under development and is envisaged to be a critical element of the strategy for achieving sustainable PA financing, the focus of the approved GEF-6 project. Trainings have been delivered to CEPA and other stakeholders on PA management, the management effectiveness tracking tool (METT) is being adapted to the contextual circumstances in PNG and a restructuring plan has been developed for CEPA. Implementing the restructuring plan which includes recruitment of additional CEPA staff has been put on hold, which is one example of a general shortcoming in country ownership. There has also been limited involvement by CEPA on some of the project activities, rendering it uncertain how the project outputs will be institutionalized.

Declaration of a new protected area, i.e., the TMR conservation area, and expansion of the PA system are among the key global environmental benefits envisaged under this project. Notwithstanding that the project seems to be on track to reach these targets, the project is not sufficiently taking advantage of the added value offered by the GEF funds in delivering these global environmental benefits, e.g., organizing learning exchanges among the target sites, facilitating genuine involvement of provincial and local government units and supporting advocacy for ensuring the PA declaration and expansions are achieved according to relevant regulatory requirements and within the timeframe of the project.

The sedimentation study made for the Sirinumu Dam and downstream reaches of the Laloki River have provided useful information to the management authorities of these resources; the scope of these activities was modified through an adaptive management intervention, as the baseline scenario indicated excessive sedimentation in the basin were found to be unsubstantiated. With regard to the other activities in the Sogeri Plateau, there has been less progress with regard to the Varirata National Park (NP). The delays in initiating technical support to the Varirata NP have adversely affected project effectiveness and efficiency. The collaboration with the JICA team that is also working on delivering technical and financial assistance to the NP has been unsatisfactory. With only 1-1/2 years remaining under the GEF-5 project and less time for the JICA project, there is limited time available to salvage a meaningful collaborative effort at strengthening the management and long-term viability of the Varirata NP.

The improvements in management effectiveness reported for the YUS CA and TMR conservation landscape are partly attributed to strengthened community involvement facilitated by WPZ/TKCP and TCA; these organizations have been working in these areas for over twenty years. Commodity conservation is the approach being implemented at the YUS CA (coffee) and one that is widely promoted throughout PNG, e.g., at the recently declared Managalas CA (cocoa). The TMR conservation landscape has also been exploring the viability of different commodities, including vanilla, although there have been prohibitive security concerns along the supply chain, and more recently agarwood (eaglewood). The basic premise of commodity conservation is that products produced by local communities are consumed and paid for by global constituencies; with the assumption that local ways of life that might be threatening to biodiversity would be compelled to shift towards market-based activities that are less consumptive. And, there are increasing expectations that such market-based principles will not only achieve positive conservation outcomes, but also poverty reduction and infrastructure development in rural areas. The experiences at the YUS and TMR conservation landscapes could provide valuable lessons in the viability of these approaches. For instance, the YUS CA is facing challenges in maintaining a functioning and committed community based organization, and the role of local government units in delivering social services is becoming obscured as parts of communities within the conservation landscapes benefit from donor funding. The lessons learned on this project could provide the Government of PNG with practical guidance to their efforts at devolving conservation governance and, also, could help the GEF biodiversity portfolio with useful insights, as commodity conservation is extensively being practiced.

As described above, there have been notable achievements under both Component 1 and Component 2; however, there is a lack of internal and external coherence on the project. The project is essentially being run as three separate interventions. The responsible parties, TCA and WPZ, have only been invited to the first project steering committee meeting, the PMU is primarily focused on Component 1 activities and there has been limited sharing of lessons learned and best practices among the project implementing partners. For instance, integrated land use planning is being carried out in each of the three conservation landscapes, including the YUS CA, the TMR conservation landscape and the Varirata-Sogeri Plateau; there has been limited collaboration among the implementing partners and contracted service providers.

The GEF grant is significant, at nearly USD 11 million, and there are several interventions running concurrently across the three conservation landscapes, as well as national level policy and capacity development activities. The project management unit is under-staffed and there is a lack of clarity of the role of the project manager – a term that is better suited to the function than “international technical coordinator”. Until September 2018, the project manager was also overseeing the ongoing GEF-4 project; the MTR team considers that arrangement as an unrealistic burden and counter-productive for the management of two full-sized GEF projects. The recruitment of a dedicated project manager in September 2018 has increased continuity on the project; however, the terms of reference for this position does not sufficiently outline the role of the project manager in overseeing the entire project, not only Component 1.

A part-time chief technical advisor was budgeted for the project but only staffed during the first year of implementation and the focus of the CTA was on Component 1 activities, with limited technical assistance delivered to the interventions under Component 2. There is a need to strengthen the process of delivering constructive technical and strategic review of project deliverables, ensuring value-for-money of the services rendered and increasing the likelihood that project outputs are sustained after GEF funding ceases. The project should increase engagement with the UNDP-GEF regional technical advisor based in Bangkok, e.g., supporting approval of high value contracts, delivering strategic guidance and facilitating South-South cooperation among other UNDP-GEF projects in the region.

There have been other deficiencies with respect to project efficiency, including financial management shortcomings identified in spot checks and independent financial audits of two responsible parties, WPZ/TKCP and TCA. Many of the issues highlighted in the audits were flagged in the HACT assessments made during the project development phase. TKCP has added a finance manager to their organization and TCA has indicated that they will seek the support of a professional financial services providers; financial management risks should be highlighted in the project’s risk management process. Project management costs stood at USD 470,139 through 31 March 2019, which is 94% of the USD 500,000 allocated; costs allocated to project management need to be reconciled.

There is room for improvement in terms of monitoring & evaluation, e.g., providing candid accounts of challenges in project progress reports, tracking cofinancing contributions and identifying and operationalizing synergies, and orienting M&E efforts with respect to progress towards impact considerations (i.e., environmental stress reduction, environmental status change, gender mainstreaming, etc.). Some of indicators and performance metrics in the project results framework are unclear and outdated, e.g., the capacity development scorecards were not designed to measure capacities of provincial government departments and NGOs, the reduction in sedimentation levels for the Laloki River are likely not relevant and the methodology for measuring livelihood benefits has not been elaborated. The interventions designed according to the GEF land degradation focal area, including rehabilitation of degraded lands and

reduction in sedimentation levels, will likely not be realized under the project and should, therefore, be reconsidered at midterm.

The implementing partners have separately produced knowledge products and communicated project results to certain stakeholder groups. It would be advisable to design and deliver a joint knowledge management strategy and action plan.

Recommendations

The MTR recommendations outlined below in **Table 3** have been formulated with the aim of improving project effectiveness and enhancing the likelihood that project results will be sustained after GEF funding ceases.

Table 3: Recommendations table

No.	Recommendation	Responsibility
1.	Improve project coherence through strengthening project governance arrangements, internal coordination and communication. Improvements should include, but not be limited to: (a) include TCA and WPZ/TKCP on project steering committee (PSC); (b) prepare a project-specific terms of reference (TOR) for the PSC; (c) consider inviting DNPM to co-chair the PSC; (d) officially identify and prepare a TOR for the National Project Director; (e) update the TOR for the project manager; (f) invite JICA and Kokoda Initiative representatives to PSC meetings (as observers); (g) rotate PSC meetings among project sites; and (h) organize cross-learning exchanges among the project sites.	PMU, CEPA, UNDP, TCA, WPZ/TKCP, DNPM
2.	Increase involvement of CEPA staff and advocate and facilitate institutionalization of project outputs. Recommended actions included, but are not limited to: (a) identify the roles of CEPA staff members on the project; (b) assign a CEPA staff member with each technical assistance team; (c) issue and brand project outputs as CEPA deliverables; and (d) link this issue to risk management process and regularly report progress/issues.	CEPA, PMU
3.	Prioritize mobilization of on-the-ground support to the Varirata National Park. In coordination with CEPA and JICA teams, prepare an adaptive management implementation plan for the final 1-1/2 years of the project regarding the Varirata NP, including coordination of recruitment of NP staff to the organization proposed in draft management plan for the NP. The annual work plan for 2019 should be reviewed to according to the agreed support to the Varirata NP, which might affect the new funding considerations for the Managalas CA & Review of Fauna (Control & Protection) Act.	CEPA, PMU, PSC
4.	Improve financial controls and oversight. Recommended improvements for strengthening financial management include, but are not limited to: (a) responsible parties should retain support from professional financial professionals or service providers; (b) allocation of project management costs should be reconciled; (c) and cofinancing contributions should be regularly tracked, also including cofinancing materialized after start of implementation.	UNDP, CEPA, TCA, WPZ/TKCP
5.	Improve project monitoring & evaluation. Recommended improvements include, but are not limited to: (a) finalize the midterm tracking tool assessments and clear with the UNDP-GEF RTA, including reconciling midterm METT scores; (b) adapt the capacity development scorecard according to the mandates of the NGO responsible parties and provincial government administrations; (c) update the project results framework; (d) integrate gender mainstreaming objectives into the results framework; (e) reflect the envisaged project outcomes in the results framework; (f) orient project M&E according to progress towards long-term impact considerations and maintain a record; (g) strengthen risk management, e.g., delays in approval of the proposed PA bill, gazettal of TMRCA, expansion of YUS CA, challenges with respect to the YUS CBO.	PMU, UNDP (CO and RTA), CEPA, PSC, TCA, WPZ/TKCP
6.	Strengthen project oversight, through (a) recruiting a part-time chief technical advisor to support review of technical outputs and liaise with CEPA officials, ensuring value-for-money of the services rendered and increasing the likelihood that project outputs are sustained after GEF funding ceases, and (b) increasing engagement with the UNDP-GEF regional technical advisor based in Bangkok, e.g., supporting approval of high value contracts, delivering strategic guidance and facilitating South-South cooperation among other UNDP-GEF projects in the region.	PMU, CEPA, UNDP (CO and RTA)
7.	Design and implement a project communication and knowledge management strategy and action plan. It would be advisable to prepare a joint communication and knowledge management strategy and action plan.	PMU, CEPA, TCA, WPZ/TKCP
8.	Develop and implement a sustainability strategy and action plan. Link the strategy and action plan to the project theory of change (draft theory of change provided in the MTR report). Implementation of the action plan should start during the second half of the project and extend over the timelines outlined in the theory of change. One part of the sustainability strategy should address increasing involvement and strengthening capacities of landowners and community based organizations (CBOs) in leading community conservation modalities.	PMU, CEPA, UNDP, TCA, WPZ/TKCP
9.	Increase participation of the PNG professional community. Create a roster of PNG specialists and institute a policy of assigning a national counterpart with each international consultancy.	UNDP, CEPA
10.	Commission an analysis of lessons learned and best practices regarding implementation of commodity conservation. Commodity conservation is an important modality for PNG and is widely promoted globally. Such an analysis would provide valuable insight for PA management administrations, PA institutions, local governments and the broader conservation community.	PMU, TCA, WPZ/TKCP

Abbreviations and Acronyms

Exchange Rate, PGK:USD:

At project start (13 November 2015):

2.8650

At midterm review (31 March 2019):

3.31011

APR	Annual Project Review
AWP	Annual Work Plan
BD	Biodiversity
CBD	Convention on Biodiversity Diversity
CBO	Community Based Organization
CDR	Combined Delivery Report
CCA	Community Conservation Areas
CEPA	Conservation and Environmental Protection Authority
CPD	Country Programme Document
DEC	Department of Environment and Conservation
DNPM	Department of National Planning and Monitoring
GEF	Global Environment Facility
KBA	Key Biodiversity Area
M&E	Monitoring and Evaluation
MEC	Ministry of Environment and Conservation
METT	Management Effectiveness Tracking Tool
MTR	Midterm Review
NBSAP	National Biodiversity Strategy Action Plan
NEC	National Executive Council
NGO	Non-Government Organisation
NIM	National Implementation Modality
NP	National Park
NPART	National Protected Areas Round Table
PA	Protected Area
PGK	Papua New Guinea Kina
PIF	Project Identification Form
PIR	Project Implementation Reports
PMU	Project Management Unit
PNG	Papua New Guinea
PPG	(GEF) Project Preparation Grant
PSC	Project Steering Committee
R2R	Ridge to Reef
RPART	Regional Protected Areas Round Table
RTA	Regional Technical Advisor
SDG	Sustainable Development Goal
TCA	Tenkile Conservation Alliance
TKCP	Tree Kangaroo Conservation Program
UNDP	United Nations Development Program
USD	United States Dollar
WPZ	Woodland Park Zoo
WWF	Worldwide Fund for Nature
YUS	Yopno, Uruwa, Som (Names of major rivers in the area)

1 Introduction

1.1 Purpose of the Review

The objective of the MTR was to gain an independent analysis of the progress mid-way through the project. The review focuses on project strategy, progress towards results, project implementation and adaptive management, and the likelihood that the envisaged global environmental benefits will be realized and whether the project results will be sustained after closure.

1.2 Scope and Methodology

The MTR was an evidence-based assessment, relying on feedback from individuals who have been involved in the design, implementation, and supervision of the project, and a review of available documents and findings made during field visits. The overall approach and methodology of the evaluation follows the guidelines outlined in the UNDP Guidance for Conducting midterm reviews of UNDP-supported, GEF-financed Projects¹.

The MTR mission was carried out over the period of 31 March to 16 May 2019. The mission itinerary is compiled in **Annex 1**, and key project stakeholders interviewed for their feedback are listed in **Annex 2**. A compilation of photographs taken during the MTR field mission is included in **Annex 3**.

The MTR team completed a desk review of relevant sources of information, such as the project document, project progress reports, financial reports, and key project deliverables. A complete list of information reviewed is compiled in **Annex 4**.

As a data collection and analysis tool, an evaluation matrix (see **Annex 5**) was developed to guide the review process. Evidence gathered during the fact-finding phase of the MTR was cross-checked between as many sources as practicable, to validate the findings.

The PMU provided a self-assessment of progress towards results, using the project results framework template provided by the MTR team in the MTR inception report. The project results framework was used as an evaluation tool, in assessing attainment of project objective and outcomes (see **Annex 6**).

Cofinancing details were provided by the PMU and cofinancing partners and are summarized into the cofinancing table compiled as **Annex 7** to the MTR report.

The MTR team also reviewed the baseline and midterm assessments of the GEF tracking tools provided by the PMU; the filled-in tracking tools are annexed in a separate file to this report.

The MTR team summarized the initial findings and recommendations of the MTR at the end of the mission on 16 May 2019 in a debriefing in Port Moresby.

1.3 Structure of the Report

The MTR report was prepared in accordance with the outline specified in the UNDP-GEF MTR guideline. The report starts out with a description of the project, indicating the duration, main stakeholders, and the immediate and development objectives. The findings of the evaluation are broken down into the following categories:

- Project Strategy
- Progress towards results
- Project implementation and adaptive management
- Sustainability

The report culminates with a summary of the conclusions reached and recommendations, formulated to enhance implementation during the final period of the project implementation timeframe.

1.4 Rating Scales

Consistent with the UNDP-GEF MTR guidelines, certain aspects of the project are rated, applying the rating scales outlined in **Annex 8**.

¹ Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects, 2014, UNDP-GEF Directorate.

Progress towards results and project implementation and adaptive management are rated according to a 6-point scale, ranging from highly unsatisfactory to highly satisfactory. Sustainability is evaluated across four risk dimensions, including financial risks, socio-economic risks, institutional framework and governance risks, and environmental risks. According to UNDP-GEF evaluation guidelines, all risk dimensions of sustainability are critical: i.e., the overall rating for sustainability cannot be higher than the lowest-rated dimension. Sustainability was rated according to a 4-point scale, including likely, moderately likely, moderately unlikely, and unlikely.

1.5 Ethics

The review was conducted in accordance with the UNEG Ethical Guidelines for Evaluators, and the MTR team has signed the Evaluation Consultant Code of Conduct Agreement form (**Annex 9**). The MTR team ensures the anonymity of the information shared by individuals who were interviewed and surveyed. In respect to the UN Declaration of Human Rights, results are presented in a manner that clearly respects stakeholders' dignity and self-worth.

1.6 Audit Trail

To document an "audit trail" of the evaluation process, review comments to the draft report will be compiled along with responses from the MTR team and documented in an annex separate from the main report. Relevant modifications to the report will be incorporated into the final version of the MTR report.

1.7 Limitations

The review was carried out over the period of March-May 2019, including preparatory activities, field mission, desk review and completion of the report, according to the guidelines outlined in the terms of reference (**Annex 10**).

There were no limitations associated with language. Project documentation are in English and the official language in Papua New Guinea is English. The three protected areas targeted by the project, the Varirata National Park, YUS Conservation Area and the proposed Torricelli, were visited during the MTR mission.

Interviews were held with most of the project stakeholders during the MTR mission. Skype interviews were held with a few other stakeholders who were unavailable to meet in person during mission.

Overall, the MTR team concludes that the information obtained during the desk review and field mission were sufficiently representative to enable an evaluation of progress made during the first half of the project.

2 Project Description

2.1 Development Context

Papua New Guinea is rich in natural resources, with large expanses of pristine forest and marine habitats and high levels of biodiversity. These forest and marine ecosystems, combined with a unique array of species that have evolved here in isolation, have made PNG one of the world's most important biodiversity hotspots. With nearly 88%² of the population living in rural areas, 97% of the land under customary ownership and centuries of traditional knowledge, local communities play an important role in conservation in the country. One of the key aspects of the 2014 Protected Areas Policy is to empower local landowners. This is further reflected in the national development strategy issued in 2011, entitled Vision 2050, specifically the first pillar, "Human Capital Development, Gender, Youth and People Empowerment".

There are formidable challenges in delivering human development results in PNG. The Human Development Index (HDI) for PNG in 2017 was 0.544, positioning the country in the low human development category, at 153 out of 189 countries and territories surveyed. Gender equality is a concern in PNG; the Gender Inequality Index (GII) in 2017 was scored at 0.741, ranking the country at 159 out of 160 countries. There are no women holding parliamentary seats in PNG, only 9.5% of adult women have reached at least secondary level education, compared to 15% for males.³

The project document indicates that the design was aligned with the 2012-2015 UNDP Country Programme Document (CPD), specifically Expected CP Outcome: "Reduced vulnerability to natural disasters and climate change, improved environmental and natural resource management, and promotion of energy conservation through access to affordable and renewable energy, particularly in off-grid local communities, and Expected CP Output: "Enhanced institutional and

² Papua New Guinea 2011 National Report, National Statistical Office.

³ Human Development Indices and Indicators: 2018 Statistical Update, briefing note for Papua New Guinea, UNDP.

communities' capacity for environmental conservation and use of natural resources". The MTR team could not find the referenced outcome and output in the 2012-2015 CPD.

The project objective is complementary to the 2014-2017 UNDP Strategic Plan, specifically Outcome 1, "Growth and development are inclusive and sustainable, incorporating productive capacities that create employment and livelihoods for the poor and excluded", and Outcome Indicator 1.5, "Hectares of land that are managed sustainably under a conservation, sustainable use or access and benefits sharing regime".

2.2 Problems the Project Sought to Address

The primary threats to biodiversity were identified to be forest conversion and degradation from logging, mining, expanding industrial and subsistence agriculture, driven by a rapidly expanding largely rural human population with expanding needs for cash crops and subsistence gardens. The situational analysis presented in the project document outlined the urgency for expanding and strengthening the PA system in PNG. The envisaged long-term solution was to develop a robust PA system that builds on and supports community-based conservation on the ground, consistent with the Protected Area Policy approved in 2014. Two barriers were identified as hindering achievement of the long-term solution:

Barrier 1: Inadequate institutional and technical capacities and financial resources to manage and support an effective PA system

- Low capacity at DEC and additional challenge of institutional transitioning into CEPA;
- Limited capacity to implement new PA policy and legislative framework;
- Lack of support to counter resistance to institutional reforms;
- Lack of PA oversight and management capacities at provincial level for effective management of regional PAs; and
- Absence of a national strategy for PA management capacity building.

Barrier 2: Local communities and local conservation actors lack access to comprehensive institutional and technical support and stable and predictable financial resources for the management of designated Protected Areas (National and Regional)

- Limited institutional capacity to mobilize landowners;
- Limited technical support available for formal registration;
- Absence of PA monitoring system;
- Concerns over (financial) sustainability of YUS CA and TRM proposed CA; and
- Inadequate capacity for comprehensive land use planning.

2.3 Project Description and Strategy

Project strategy:

The objective of the UNDP-GEF project is "to strengthen national and local capacities to effectively manage the national system of protected areas, and address threats to biodiversity and ecosystem functions in these areas". This objective was designed to be achieved through two major components. The first component focuses on the strategic support to the implementation of the new PNG Protected Areas Policy and the CEPA Act (May 2014) contributing to the establishment of a comprehensive and capable national system to oversee and support National and Regional PAs, and technical support to the management of the Varirata National Park and better integration of the NP into land use strategies for the broader Sogeri Plateau landscape. The second component focuses on strengthening support to Community Conservation Areas (CCAs) to ensure that these areas are effectively managed and sustained within a supportive national framework, including through the provision of stable and predictable financial support through various government channels. Targeted livelihood support was to be provided as governed by locally established Conservation Area Agreements (CAAs) and specifically identified priorities on conservation grown coffee and cocoa in YUS and alternative protein in the Torricelli Mountain Range (TMR).

Component 1: Management Capabilities of the PNG State to oversee Protected Area Management

Outcome 1.1: Institutional capacity of Conservation and Environment Protection Authority and relevant Provincial Government counterparts for PA system planning and management improved

Outcome 1.2: Oversight and coordination of the national PA system is strengthened through standardized and scientifically-based monitoring of status and pressures, agreed national standards and guidelines for PA management and minimum technical standards for PA management and staff

Outcome 1.3: Effective management of National Parks demonstrated through increased management effectiveness at Varirata National Park and better integration of the Park into the broader Sogeri Plateau landscape to reduce erosion and sedimentation levels in the Laloki River

Component 2: Strengthening the Capacity of the State and Local Communities to Cooperatively Manage Protected Area Sites, and manage threats to biodiversity

Outcome 2.1: Effective management of PAs covering an area of 331,000 ha

Outcome 2.2: Traditional systems and models for management and conservation of biodiversity strengthened across at least 331,000 ha of priority landscape consisting of: (a) the expanded YUS Community Conservation Area (151,000 ha) and (b) the Torricelli Mountain Range Community Conservation Area (180,000 ha)

Target landscapes:

The **YUS Conservation Area** includes lowland and montane forest and is home to a large number of endemic species, many of which are under threat. This includes the Endangered Matschie's Tree Kangaroo (*Dendrolagus matschiei*), the Critically Endangered Eastern Long-Beaked Echidna (*Zaglossus bruijni*), the Near-threatened Emperor Bird of Paradise (*Paradisaea guilielm*), the Vulnerable New Guinea Vulturine Parrot (*Psitttrichas fulgidus*), the Vulnerable Papuan Harpy Eagle (*Harpyopsis novaeguineae*), the Vulnerable Wahnes's Parotia (*Parotia wahnesi*) and the Near-threatened Dwarf Cassowary (*Casuaris bennetti*). The region is also home to two poisonous bird species: the Hooded Pitohui (*Pitohui dichrous*) and the Blue-capped Ifrita (*Ifrita kowaldi*). The protected area extends to the adjacent network of reefs, beaches and sea grass beds in the near shore area of the Bismarck Sea as part of the Coral Triangle. This marine habitat serves as vital feeding and nesting sites of the Critically Endangered Leatherback Turtle (*Dermodochelys coriacea*), and the globally Vulnerable Dugong (*Dugong dugon*). The region is home to a population of approximately 13,000-15,000 people residing in 50 villages and several hamlets. These communities have limited access to external markets and services, with transportation links limited to small aircraft providing an erratic service. These communities have no telecommunications facilities. As a result, they are entirely dependent on their immediate environment for food and shelter.

The **Torricelli Mountain Range** site contains a mix of lowland and mid-montane tropical rainforest with a high level of endemism. It is the only known landscape in which three species of tree kangaroo are found, all endemic: the Scott's Tree Kangaroo or Tenkile (*Dendrolagus scottae*), the Golden-mantled Tree Kangaroo or Weimag (*Dendrolagus pulcherrimus*) and the Grizzled Tree Kangaroo or Yon-gi (*Dendrolagus inustus*). Other endemic species include the Black-spotted Cuscus (*Spilocuscus rufoniger*) and the Northern Glider (*Petaurus abidi*). The Tenkile Tree Kangaroo, Weimag Tree Kangaroo, Black-spotted Cuscus and Northern Glider are all classified as Critically Endangered. The Endangered Palm Cockatoo (*Probosciger atterimus*) is also found in the region. A camera trap study by the Tenkile Conservation Alliance (TCA) also recorded new species of forest wallaby. Currently TCA operates in the Torricelli Mountain Range, an area which contains 50 villages with more than 10,000 people, who depend on subsistence agriculture (gardens) and hunting. The broader landscape in which the proposed Conservation Area will be established includes an additional 100 villages with up to a further 20,000 people. The river systems that flow from this mountain range run through extensive lowland forests and support important coastal ecosystems including the Sissano Lagoon and extensive mangrove and coral reef formations. The West Torricelli Mountains (Site ID 26423) are one of the 43 key biodiversity areas (KBAs) designated in PNG.⁴

Varirata National Park (NP) and the Sogeri Plateau protects an important ecosystem that is an ecotone between savannah and monsoon rainforest. The NP is famed for a rich variety of birdlife, with well over 200 species recorded, and was the first location at which the poisonous properties of the Hooded Pitohui (*Pitohu dichrous*) were described by science. Beyond its intrinsic conservation value, its proximity to Port Moresby makes the site of especially high conservation education significance, critical in building the conservation constituency in the emerging middle class; their support will be critical to sustaining investment in conservation country wide. The sustainable management of the broader Sogeri plateau is critical to preserve water regulation and provisioning services vital for the National Capital District and to sustain livelihoods of the local landowners.

2.4 Implementation Arrangements

The project is being implemented under a national implementation modality (NIM), with UNDP as the GEF implementing agency, CEPA as the lead implementing partner for the project and Component 1, and Woodland Park

⁴ World database of Key Biodiversity Areas, www.keybiodiversityareas.org

Zoo and TCA as responsible parties for the YUS Conservation Area and the Torricelli Mountain Area, respectively. The project organization chart included in the project document is presented below in **Figure 1**.

The composition of the project board (also referred to the project steering committee) was designed to include CEPA and UNDP as the project executive function, Woodland Park Zoo and TCA⁵ as project senior suppliers, and the provinces of East Sepik, West Sepik, Morobe, Madang and Central as senior beneficiaries. Project assurance was to be delivered by the UNDP Country Office and the UNDP Asia and Pacific Regional Center.

A senior official from CEPA was slated to be the National Project Director (specific position was not indicated in the project document), funded through government cofinancing contributions. The Project Management Unit (PMU) was to be established by UNDP and CEPA to coordinate this project and all other UNDP-GEF projects in PNG. The composition of the PMU was indicated to include an International Technical Coordinator and “necessary support and technical staff”, including a Chief Technical Advisor and Procurement & Finance Officer.

As with previous UNDP-GEF projects, the implementation modality is a full-support NIM, meaning that apart from their project assurance role, UNDP is responsible for recruitment and contracting of project staff, conducting procurement services, providing financial and auditing services and appointing independent financial auditors and evaluators.

As responsible parties, Woodland Park Zoo and TCA are responsible to prepare annual work plans, and the PMU will consolidate these plans with the one from CEPA for Component 1 into a single annual work plan (AWP) for the project. CEPA and the two responsible parties are obliged to prepare quarterly and annual progress reports, provide inputs to the annual project implementation review (PIR) reports and report project expenditures.

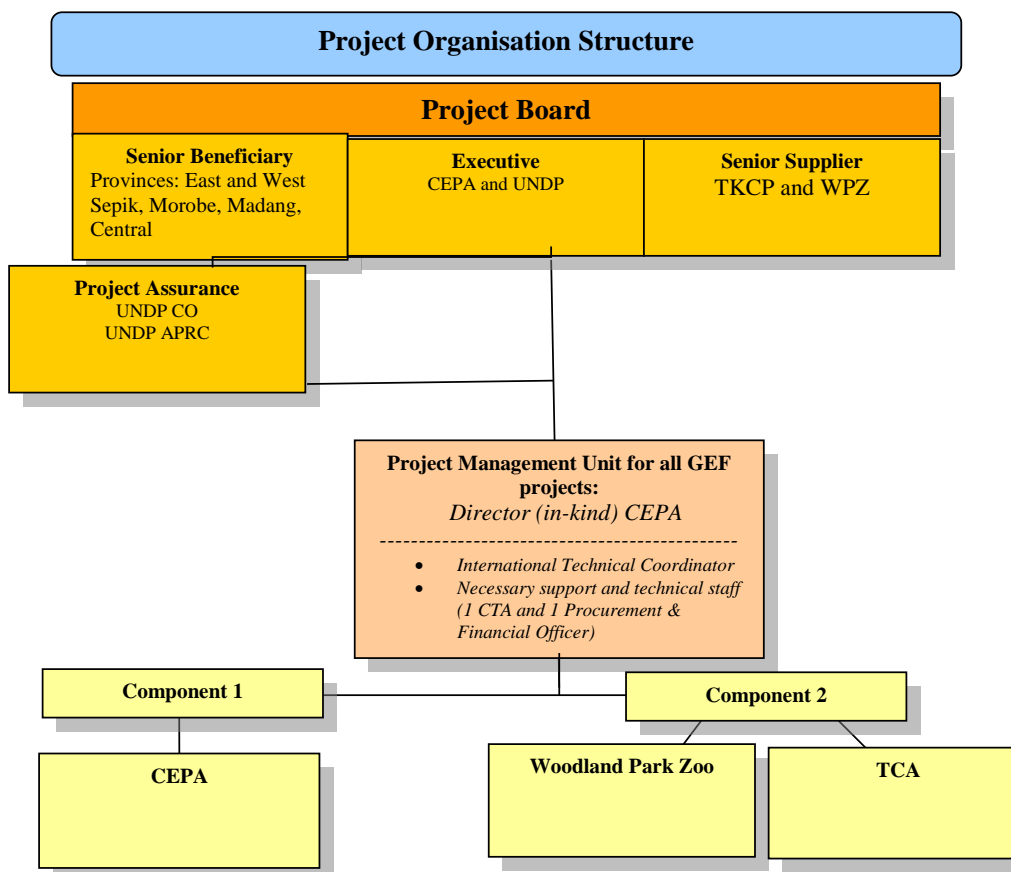


Figure 1: Project organizational chart (taken from Figure 17 of the project document)

2.5 Project Timing and Milestones

Project Milestones:

Received by GEF:	01 August 2013
Preparation Grant Approved (PIF approved):	12 September 2013

⁵ The organization chart erroneously excludes TCA as one of the senior suppliers; Woodland Park Zoo and TKCP are included.

Project Approved for Implementation:	21 July 2015
Start Date (project document signed by government of PNG):	13 November 2015
Project Inception Workshop:	May 2016
Midterm Review:	March-May 2019
Closing Date (Planned):	11 November 2020

The project identification form (PIF) was approved on 12 September 2013, and following the project preparation phase, the project obtained approval for implementation by the GEF CEO on 21 July 2015. The official start date of the project is 13 November 2015, the date when the Government of PNG signed the project document. The project inception workshop was held about 6 months later, in May 2016. The Technical Coordinator was on board, the same person who was coordinating the GEF-4 project, and the project chief technical advisor started in January 2016.

The MTR was conducted over the period of March-May 2019, and the planned closing date is 11 November 2020.

2.6 Main Stakeholders

The main stakeholders for the project and their expected roles and responsibilities were outlined in the stakeholder analysis included in the Project Document and augmented during the stakeholder involvement discussions held during the project inception workshop in May 2016. The project stakeholders are listed below in **Table 4**.

Table 4: Project stakeholders⁶

Stakeholder Group	Description
Conservation and Environment Protection Authority (CEPA)	CEPA is the primary Government institution responsible for conservation and protected area management in PNG.
Provincial Governments: Central, Morobe, Madang, East Sepik and West Sepik	Key responsible entity for management of Regional PAs under draft PNG Policy on PAs. Critical partners in the establishment and management of PAs. Support customary landowners in capacity building, development of agreements and the practical on-ground management of the protected areas. Budgetary allocations for staff and operations; integration of PA management into established provincial, district and Local Level Government (LLG) level development and land use planning and budgeting.
Tree Kangaroo Conservation Program (TKCP) supported by Woodland Park Zoo	TKCP focuses on conserving the endangered Matschie's Tree Kangaroo (<i>Dendrolagus matschiei</i>) and the habitat in which it lives through working with the local YUS community for the last 20 plus years. TKCP-PNG is an independent non-governmental organization registered in PNG and based in Lae in the Morobe Province. It is staffed mainly with YUS community members.
Tenkile Conservation Alliance (TCA)	TCA focuses on the conservation of both the Tenkile Tree Kangaroo in the Western half of Torricelli and Weimag Tree Kangaroo in the eastern half of Torricelli. TCA has been established to assist the local communities in forming a CA that will hopefully protect the Torricelli's from commercial logging and mining as well as ensuring the survival of all flora and fauna within them. TCA has begun working towards this goal in order to protect both these endangered species.
National Capital District Commission (NCDC)	The NCDC is established under the NCDC Act of 2001 with the functions to control, manage and administer the district (Port Moresby) and to ensure the welfare of the persons living in it.
Dept. of National Planning and Monitoring (DNPM) in the Ministry of National Planning	DNPM is the government agency responsible for coordinating aid programs, including oversight of UNDP activities, in PNG.
National Executive Council (NEC) (cabinet)	Government's highest Policy Oversight institution; The Minister of Environment and Conservation is in charge of environmental matters within the NEC (Cabinet). Functions with regards to PA management: Oversight function for PNG Policy on PAs implementation; approve Implementation Plan; review annual progress reports; consideration/ approval of new legislation, institutional arrangements, adequate financial support to effectively implement policy; consideration and approval of National PA nominated; ensure harmonization of relevant policies and programs.
National Conservation Council (NCC)	Once the new PA policy is approved, the NCC will get renewed mandate under draft PNG Policy for PAs, including: Review of National PA proposals and associated documentation for new protected areas before submission to Minister and NEC; Endorse the criteria for areas to be recommended as PAs; Advise the Minister on the formulation of legal instruments necessary to

⁶ Source: Project Document (Table 5) and Project Inception Workshop Report (Table 2).

Stakeholder Group	Description	
	implement Policy; Endorse the annual report of CEPA, once it is operationalized in 2015, concerning this Policy prior to forwarding to the Minister and NEC; The NCC may have other functions articulated in the new CEPA legislation.	
National Protected Areas Round Table (NPART)	To be established once the PNG Policy on PAs is approved and operationalized: NPART will have the following functions: Evaluate all proposals for National PAs, and make recommendations to the NCC concerning the support or otherwise of the proposal. Recommends to the NEC proposals for declaration of National PAs, based on assessment of proposals in the light of national priorities, customary landowner support and capacity for effective management. Supporting information will include the draft conservation and benefit agreement with customary landowners. Terms of Reference to be developed.	
Regional Protected Areas Round Table (RPART)	To be established once the PNG Policy on PAs is approved and operationalized: RPART will have the following functions: Evaluate all proposals for Regional PAs, and make recommendations to Provincial Government concerning the support or otherwise of the proposal. Recommends to the Provincial Government proposals for declaration of Regional PAs, based on assessment of proposals in the light of national priorities, customary landowner support and capacity for effective management. Supporting information will include the draft conservation and benefit agreement with customary landowners. Terms of Reference to be developed.	
Academia and Research Institutions	This includes the national universities, research institutions involved with environmental conservation, agriculture and natural resource management.	
Provincial and Local Level Government	These are responsible for plan development and implementation at the community levels. They work closely with the NGOs and CBOs.	
NGOs (Both national and international)	These would include organizations active in project landscapes, such as the Tree Kangaroo Conservation Program-PNG and the Tenkile Conservation Alliance, as well as key conservation partners working on conservation capacity building such as The Nature Conservancy.	
Private Sector and Parastatal Agencies	Development project proponents and investors whose operations are regulated by the DEC in terms of environment management, as well as the main users of ecosystem services such as PNG Power and Eda Ramu water supply company.	
Local Communities and Landowner Groups	Landowner groups are the primary rights-holders in the project area and have direct control of forest and land resources. The YUS Conservation Organization is the local landowner association partnering with TKCP for advising on management of the YUS CA.	
Additional stakeholders added to the stakeholder analysis at the project inception workshop (May 2016):		
Stakeholder	Outcome	Role in Project
Japan International Cooperation Agency	1	Joint rehabilitation of Varirata National Park
James Cook University	1	Capacity building of national stakeholders in protected area management
National Capital District Commission	1	Support development of a public private partnership for the management of VNA as current there is no MOU in place
National Forest Authority	1 & 2	Guide and revoke FMAs in Conservation Areas
Cocoa Board of Papua New Guinea	2	Training on certification and market compliance requirements of organic cocoa farming in project sites
Coffee Industry Cooperation	2	Training on certification and market compliance requirements of organic cocoa farming in project sites

3 Findings

3.1 Project Strategy

3.1.1 Project Design

The multifocal area project was approved under the GEF-5 replenishment cycle and aligned to Objective 1 biodiversity (BD) focal area strategy and Objectives 2 and 3 of the land degradation (LD) focal area strategy:

- **Objective BD-1:** Improve Sustainability of Protected Area Systems; **Outcome 1.1:** Improved management effectiveness of existing and new protected areas; **Output 1:** New protected areas (number) and coverage (hectares) of unprotected ecosystems.

- **Objective LD-2: Forest Landscapes:** Generate sustainable flows of forest ecosystem services in drylands, including sustaining livelihoods of forest dependent people; **Outcome 2.3:** Sustained flow of services in forest ecosystems in drylands; **Output 2.3:** Suitable SFM interventions to increase/maintain natural forest cover in dryland production landscapes.
- **Objective LD-3: Integrated Landscapes:** Reduce pressures on natural resources from competing land uses in the wider landscape; **Outcome 3.2:** Integrated landscape management practices adopted by local communities; **Output 3.1:** Integrated land management plans developed and implemented.

With regard to the biodiversity focal area strategy, Output 2 under Objective BD-1 might have been more appropriate, as the envisaged protected area expansions are focusing on unprotected threatened species (tree kangaroo); Output 1 is focused on unprotected ecosystems. And, it is unclear why Objective LD-2 was included under the project strategy, as the target landscapes are tropical forest ecosystems.

The project design does not include a theory of change. For the purposes of the midterm review and to support a possible redesign of the project, the MTR team prepared a draft theory of change for consideration (**Figure 2**). Component 1 was designed to address Barrier 1, i.e., inadequate institutional and technical capacities and financial resources to manage and support an effective PA system. Four outputs were formulated to achieve the three outcomes envisaged under this component. It is noted that project outcomes are not included in the project strategy described in the project document. Table B (project framework) of the CEO Endorsement Request includes project outcomes, but these are not reflected in the project document.

Following up to the Protected Area Policy developed with support from the GEF-4 project and approved in 2014, this project included development of an implementation plan for operationalizing the policy and strengthening the requisite enabling environment for achieving and sustaining effective management of the national PA system. Formulation of a biodiversity offset policy and regulation is one of the mechanisms envisaged to help secure PA financing and operation of CEPA as an oversight and enforcement authority.

Strengthening the management effectiveness of the Varirata National Park (NP) was included in Component 1, as this is one of the more popular national parks in the country, located close to the capital Port Moresby and directly managed by CEPA. Moreover, the Varirata NP is situated within the Sogeri landscape, which supports key ecological services, including water resources for electrical power generation and potable drinking water supply. This project provided an opportunity to support the national and provincial government stakeholders with integrating the management objectives of the NP within the broader landscape, with the aim of delivering mutually beneficial conservation and livelihood outcomes.

Component 2 was designed in response to Barrier 2, i.e., local communities and local conservation actors lack access to comprehensive institutional and technical support and stable and predictable financial resources for PA management. Two PA landscapes were selected: (1) the YUS Conservation Area (CA), that was declared in 2009 to protect the Matschie's Tree Kangaroo and supported by the Woodland Park Zoo in the USA with technical expertise, PA oversight, YUS Conservation Area Management Endowment, and liaison with buyers of the conservation coffee produced in the YUS landscape. A local NGO, Tree Kangaroo Conservation Program - PNG (TKCP-PNG), was set up in PNG to oversee the PA management and lead local ecological monitoring, ranger program, livelihoods, One Health, and Junior Ranger program; and (2) the Torricelli Mountain Range (TMR) landscape, that is proposed to be declared as a conservation area. The TMR landscape is managed by a local NGO, Torricelli Conservation Alliance (TCA), which has been working closely with local communities at community-driven conservation, involving local rangers and delivering support for sustainable livelihood opportunities and community development initiatives.

There were shortcomings in the project design with respect to coherence. For instance, there was no common knowledge management strategy, no common gender assessment and strategy, unclear role of the NGO partners with respect to monitoring and evaluation, the TOR for the chief technical advisor was primarily oriented to Component 1, limited cross-learning and sharing of resources among the three target PA landscapes, etc. And, there was no evidence available regarding validation of the project design among project partners prior to submittal to the GEF for approval.

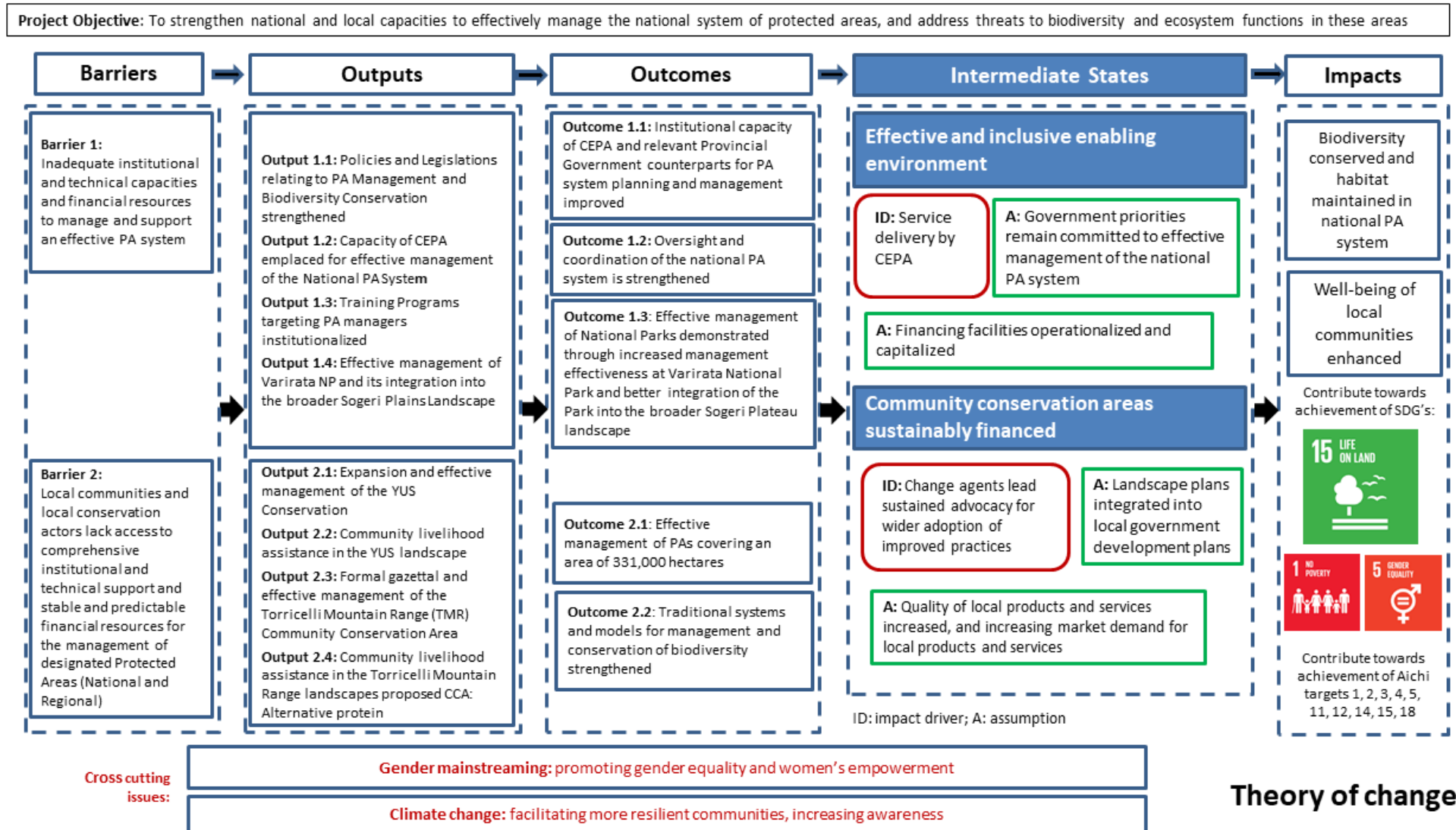


Figure 2: Draft theory of change

3.1.2 Results Framework

As part of this midterm review, the project results framework for the project was assessed against “SMART” criteria, to evaluate whether the indicators and targets were sufficiently specific, measurable, achievable, relevant, and time-bound. With respect to the time-bound criterion, all targets are assumed compliant, as they are set as end-of-project performance metrics.

Project Objective:

There are five indicators at the project objective level, as described below in **Table 5**.

Table 5: SMART analysis of project results framework (project objective)

Indicator	Baseline	End-of-Project target	MTR SMART analysis				
			S	M	A	R	T
Objective: To strengthen national and local capacities to effectively manage the national system of protected areas, and address threats to biodiversity and ecosystem functions in these areas							
A. Aggregated Average Capacity Development indicator score for CEPA, Madang, Morobe, West Sepik and East Sepik Provincial Government, TCA and TKCP	35.3%	62.3%	?	Y	Y	?	Y
B. Total area expansion of the National Protected Area in the Varirata-Sogeri Plateau, YUS and Torricelli Mountains Landscapes	0 ha ⁷	255,000 ha	Y	Y	Y	Y	Y
C. Conducive policy environment for CEPA to operate within	No policy regulating development impacts on biodiversity	An enabling policy that established an effective national system to license and regulate development impacts on biodiversity.	Y	Y	Y	Y	Y
	No clear direction on how funds and revenues will be earmarked within the overall CEPA financial structure	An administrative regulation or similar issuance describing the process by which funds and revenues for PA management will be earmarked within the overall CEPA financial structure.	Y	Y	Y	Y	Y
D. Number of villages directly benefitting from community-based livelihood activity that contribute to the reducing the extent and intensity of threats to the YUS and Torricelli CAs	0 ⁸	>60	?	Y	Y	Y	Y
E. IRRF Sub-indicator 1.1.3.A.1.1: Extent to which institutional frameworks are in place for conservation, sustainable use, and/or access and benefit sharing of natural resources, biodiversity and ecosystems.	Not defined. MTR suggestion: <i>The concept of community conservation areas is included in the PAP, but with no enabling institutional framework</i>	Not defined. MTR suggestion: <i>Community conservation areas are mainstreamed in PNG through an enabling institutional framework, supported by CEPA, LLGs and regional roundtables</i>	N	N	?	?	?
SMART: Specific, Measurable, Achievable, Relevant, Time-Bound Green: SMART criteria compliant; Yellow: questionably compliant with SMART criteria; Red: not compliant with SMART criteria							

Objective Indicator A is an aggregated capacity development score, an average of scores assessed for CEPA, TCA, TKCP and four provincial government stakeholders, applying a common capacity development scorecard. The MTR team feels that aggregating scores of the separate stakeholders into a single, average score does not provide a relevant measure of PA management capacity. Firstly, the mandates of the stakeholders are different and, in fact, the scorecard is best suited for a PA management institution such as CEPA. There are outcomes in the scorecard that are not relevant for an NGO stakeholder, e.g.:

- There is a strong and clear legal mandate for the establishment and management of protected areas.
- There are protected area systems.
- There is a fully transparent oversight authority for the protected areas institutions.
- Protected area institutions are highly transparent, fully audited, and publicly accountable.
- There are legally designated protected area institutions with the authority to carry out their mandate.
- Protected area policy is continually reviewed and updated.

⁷ The baseline was indicated as 0 ha, but the YUS CA was already declared at project entry.

⁸ The baseline was indicated as 0 villages, but at least 15 villages were already benefitting from livelihood activities before project start.

With respect to Objective Indicator B, the baseline of zero (0) villages benefitting from community-based livelihood activities in the YUS and Torricelli landscapes is incorrect. There were villages benefitting from livelihood activities at project baseline.

Objective Indicator E was added from the Integrated Results and Resources Framework (IRRF) of the 2014-2017 UNDP Strategic Plan. There was no baseline or end target established for this indicator.

Component 1: Management Capabilities of the PNG State to oversee Protected Area Management

There are four indicators established for the four outcomes designed for Component 1, as described below in **Table 6**.

Table 6: SMART analysis of project results framework (Component 1)

Indicator	Baseline	End-of-Project target	MTR SMART analysis				
			S	M	A	R	T
Outcome 1.1: Institutional capacity of Conservation and Environment Protection Authority and relevant Provincial Government counterparts for PA system planning and management improved.							
Outcome 1.2: Oversight and coordination of the national PA system is strengthened through standardized and scientifically-based monitoring of status and pressures, agreed national standards and guidelines for PA management and minimum technical standards for PA management and staff.							
1.1. Capacity of CEPA	Development indicator score for CEPA: 38%	Development indicator score for CEPA: 72%	Y	Y	Y	Y	Y
	New PA Policy	PNG PA Policy in place and implemented through a formulated Strategic Plan	Y	Y	Y	Y	Y
	Standards and guidelines: None	Standards and Guidelines for PA Management in PNG approved	Y	Y	Y	Y	Y
	Zero of CEPA's PA Unit staff completed specialised, targeted short-course training in PA oversight and coordination	>30 of CEPA's PA Unit professional staff completed specialised, targeted short-course training in PA oversight and coordination	Y	Y	Y	?	Y
Outcome 1.3: Effective management of National Parks demonstrated through increased management effectiveness at Varirata National Park and better integration of the Park into the broader Sogeri Plateau landscape to reduce erosion and sedimentation levels in the Laloki River							
1.2. METT Scores of Varirata NP	Varirata NP: 27%	Varirata NP: 50%	Y	Y	Y	?	Y
1.3. Sirinumu Dam Integrated Land Use Plan approved and being implemented	No Plan in place	Sirinumu Dam Integrated Land Use Plan approved covering a landscape area of > 7000 ha	Y	Y	Y	Y	Y
1.4. Sedimentation levels in the Laloki River as measured at relevant downriver site (and compared to levels in the Sirinumu dam)	To be determined in Year 1 of the project	5% less than the baseline	?	N	?	?	Y
SMART: Specific, Measurable, Achievable, Relevant, Time-Bound Green: SMART criteria compliant; Yellow: questionably compliant with SMART criteria; Red: not compliant with SMART criteria							

Among the four sub-targets for Indicator 1.1, regarding the capacity of CEPA, the first one applies to the capacity development scorecard, the second is focused on implementation of the PA policy approved in 2014, the third is on formulation of standards and guidelines for PA management in PNG and the fourth is on training for PA staff. These sub-indicators were found to be largely SMART-compliant. With respect to having more than 30 CEPA staff completing short-course training, it is questionable if this is a relevant measure of improved capacity; rather, it seems to be more of an output-level target.

The end target for the METT score for the Varirata NP of 50% seems rather low, particularly considering that it was known during project development that JICA was also providing support to this PA.

With respect to Indicator 1.4, setting an end target of a 5% reduction in sedimentation levels in downstream reaches of the Laloki River (as compared to levels in the Sirinumu Dam) was unsubstantiated, as baseline figures were to be determined in Year 1 of the project.

Component 2: Strengthening the capacity of the state and local communities to cooperatively manage PA sites

There are five indicators under Outcome 2.1 and two indicators for Outcome 2.2 (see **Table 7**).

Table 7: SMART analysis of project results framework (Component 2)

Indicator	Baseline	End-of-Project target	MTR SMART analysis				
			S	M	A	R	T
Outcome 2.1: Effective management of PAs covering an area of 331,000 hectares							
2.1. Capacity Development indicator score for Madang, Morobe, West	Morobe Provincial Government: 27%	Morobe Provincial Government: 50%	N	Y	?	Y	Y

Indicator	Baseline	End-of-Project target	MTR SMART analysis				
			S	M	A	R	T
Sepik and East Sepik Provincial Government, TCA and TKCP	Madang Provincial Government: 23% East Sepik Provincial Government: 23% West Sepik Provincial Government: 21% TCA: 53% TKCP: 62%	Madang Provincial Government: 55% East Sepik Provincial Government: 58% West Sepik Provincial Government: 56% TCA: 70% TKCP: 75%					
2.2. METT Scores of YUS Conservation Area and Torricelli Mountain Range Conservation Area	YUS: 57% Torricelli: 57%	YUS: 75% Torricelli: 72%	Y	Y	Y	Y	Y
2.3. Extent of area under different National PA Categories and covered by Integrated Land Use Plans to direct management	YUS: Conservation Area: 76,000 ha Torricelli: 0 ha Protected Area	YUS: Community Conservation Area: 151,000 ha Torricelli: Community Conservation Area: 180,000 ha	Y	Y	Y	Y	Y
2.4. Stable or increased populations of threatened species - YUS	YUS: Baseline: Matschie's Tree Kangaroo (<i>Dendrolagus matschiei</i>) (Endangered) 250+	YUS: Stable or increased population: Matschie's Tree Kangaroo (<i>Dendrolagus matschiei</i>)\ 250+	Y	?	?	Y	Y
2.5. Stable or increased populations of threatened species - TMR	Tenkile Tree Kangaroo (<i>Dendrolagus scottae</i>) (Critically Endangered) Population estimate 300+; Weimag Tree Kangaroo (<i>D. pulcherrimus</i>) Population estimate 500+	Stable or Increased Populations: Tenkile Tree Kangaroo (<i>Dendrolagus scottae</i>), target 300+ Weimag Tree Kangaroo (<i>D. pulcherrimus</i>), 500+	Y	?	?	Y	Y
Outcome 2.2: Traditional systems and models for management and conservation of biodiversity strengthened across at least 331,000 ha of priority landscape consisting of: (a) the expanded YUS Community Conservation Area (151,000 ha) and (b) the Torricelli Mountain Range Community Conservation Area (180,000 ha)							
2.6. Productivity of organic coffee and cocoa in existing agricultural zones in YUS	Coffee = 2.5 tons per year from 22,650 ha Cocoa = 38.6 tons per year from 6,091 ha.	Coffee > 30 tons per year from 22,650 ha Cocoa > 103 tons per year from 6,091 ha	Y	Y	Y	Y	Y
2.7. Formal agreements in place between communities in participating conservation areas and central and/or Provincial Government/ project IAs, to provide financial and in-kind (service provision) support to participating communities, resulting in at least PGK 400 (approximately USD 150) in additional resources per household per year provided to the communities concerned	YUS – US\$ 50 per Household (coffee and cocoa producers) TCA = US\$ 0	YUS – US\$ 200 per household (coffee and cocoa producers) TCA = US\$ 150 ⁹ per household (Alternative Proteins beneficiaries)	?	?	?	Y	Y
SMART: Specific, Measurable, Achievable, Relevant, Time-Bound Green: SMART criteria compliant; Yellow: questionably compliant with SMART criteria; Red: not compliant with SMART criteria							

As mentioned in the discussion regarding Objective Indicator A, the same capacity development scorecard is being applied for CEPA, the two NGO partners and the four provincial government stakeholders. It would have been more appropriate to develop scorecards that are specific to the roles and mandates of these disparate stakeholders. For this reason, Indicator 2.1 is not considered an appropriate measure of the capacities of TCA, TKCP and the four provincial government stakeholders.

With respect to Indicators 2.4 and 2.5, regarding populations of target species, approximate estimates of baseline and end target populations are indicated. Considering the challenges in estimating a total number, a supplemental indicator (such as a kilometric abundance index) might have provided stronger temporal information regarding changes over the five years of the project implementation phase.

Indicator 2.7 is a measure of additional resources available to local beneficiaries in the participating conservation landscapes as a result of formal agreements between local communities and central or provincial level governmental

⁹ The following footnote is included in the project results framework: "A methodology will have to be developed during project implementation to measure this as "in-kind" or "subsistence" value for the alternative protein activities in TMR CA".

partners. It is unclear how the baseline figures and end targets were established, rendering the measurability and achievability of this indicator questionable.

3.1.3 Gender Mainstreaming and Social Inclusion Analysis

The UNDP social and environmental screening process (SESP) was carried out as part of the project preparation phase (PPG), and the results annexed to the project document. The SESP concluded that the project is rated as MODERATE risk, based on potential conflicts between communities and CEPA regarding natural resource management in the Varirata-Sogeri landscape and the potential damaging effects of increasing the number of alien species in project areas. The mitigation measures described includes ensuring stakeholders concerns are adequately understood, carrying out social mapping and related tools to identify communities and clans with claims on natural resources in the project landscapes, conducting a comprehensive risk/environmental and social impact assessment on any exotic species that will be used for the livelihood activities on the project and completing an indigenous peoples plan as part of the process of formulating the integrated land use plan for the Sirinumu Dam area.

There were no gender risks identified in the SESP. A gender analysis and action plan were not made during the PPG phase, and the project results framework is not gender-specific. During the GEF-5 replenishment cycle, UNDP policy required gender analyses and action plans for projects having identified gender risks. The challenges of gender equality in PNG were elaborated in the situation analysis of the project document and a “Medium” rated risk on gender was included in the risk log included in the main body of the project document: “Gender based conflicts over the roles of men and women in natural resource management”. The description of the project strategy included developing a formal gender strategy for the YUS and TMR conservation landscapes, delivering trainings on gender screening and considering gender mainstreaming approaches in the outputs under Component 2. Moreover, a gender assessment was planned as part of the land use planning for the YUS and TMR conservation area landscapes and a specific gender focus was highlighted for Output 2.2 (livelihoods). TKCP completed a gender assessment and action plan for YUS after project implementation started.

Climate change risks were not identified in the SESP; however, a “Medium” rated risk regarding climate change was included in the updated risk log in the main body of the project document: “The effects of climate change will make it difficult to plan/implement activities”.

3.2 Progress towards Results

3.2.1 Progress towards achievement of Global Environmental Benefits

Progress towards achievement of global environmental benefits under the GEF-5 biodiversity (BD) and land degradation focal areas is summarized below in **Table 8**.

Table 8: Midterm assessment of progress towards global environmental benefits

Focal Area Outcomes/Indicators/Outputs	Project end targets	Midterm status	MTR Assessment
<p>BD-1, Outcome 1.1: Improved management effectiveness of existing and new protected areas</p> <p>Indicator 1.1: Protected area management effectiveness score as recorded by Management Effectiveness Tracking Tool.</p> <p>Output 2: New protected areas (number) and coverage (hectares) of unprotected threatened species (number).</p>	<ul style="list-style-type: none"> • New protected areas: 1 (TMR CA) • Increased coverage of unprotected threatened species: 255,000 ha • Improved PA management effectiveness, as measured by METT (baseline → closure): Varirata NP: 27% → 50% YUS CA: 57% → 72% TMR CA: 57% → 72% 	<p>Applications for gazettal of the TMR CA (185,000 ha) and 75,000-ha expansion of the YUS CA submitted to CEPA; gazettal expected by project closure. Midterm METT (Mar 2019): Varirata NP: 54.9% YUS CA: 69% TMR CA: 69%</p>	<p>On target</p>
<p>LD-2, Outcome 2.3: Sustainable flow of services in forest ecosystems in drylands</p> <p>Indicator 2.3: Increased quantity and quality of forests in dryland ecosystems</p> <p>Output 2.3: Suitable SFM interventions to increase/maintain natural forest cover in dryland production landscapes</p>	<p>5% reduction in sedimentation levels in the Laloki River Basin (Sogeri-Varirata landscape) as a result of reforestation of 1,000 ha of forests and implementation of the Sirinumu Dam Integrated Land Use Plan.</p>	<p>Gathering of background information and stakeholder consultations initiated for integrated land use plan; unlikely that reductions in sedimentation levels and reforestation will be achieved by project closure.</p>	<p>Not on target</p>
<p>LD-3, Outcome 3.2: Integrated landscape management practices adopted by local communities</p> <p>Indicator 3.2: Application of integrated natural resource management (INRM) practices in wider landscapes</p> <p>Output 3.1: Integrated land management plans developed and implemented</p>	<p>Three (3) integrated land use plans developed and implemented, covering a cumulative land area of 343,000 ha:</p> <ul style="list-style-type: none"> • Sogeri-Varirata landscape (approx. 7,000 ha) • YUS CA (151,000 ha) • TMR CA (185,000 ha) 	<p>Integrated land use plan for the Sogeri-Varirata landscape has been initiated. The YUS CA has updated their land use plan, covering the 75,000 ha of expanded area. The TMR CA has completed village level land use plans and expects to</p>	<p>On target</p>

Focal Area Outcomes/Indicators/Outputs	Project end targets	Midterm status	MTR Assessment
		combine them into a consolidated plan.	

Improvements in protected area management effectiveness at the three target PA's are on target to reach the project end targets, and gazettal of the TMR CA and the expanded YUS CA are considered likely to be realized by project closure.

With respect to the envisaged global environmental benefits under the LD focal area, the project is on target to achieve three integrated land use plans, one for each of the target conservation landscapes. However, reforestation (or rather rehabilitation) of degraded forests in the Sogeri Plateau and 5% reduction in the rate of sedimentation in the Laloki River are unlikely to be achieved under the project.

3.2.2 Progress towards Objective and Outcomes Analysis

Project effectiveness was evaluated by assessing achievement of the project objective and outcomes according to the agreed performance metrics included in the project results framework.

Objective: To strengthen national and local capacities to effectively manage the national system of protected areas, and address threats to biodiversity and ecosystem functions in these areas	
Progress towards achieving the project objective is rated as:	Moderately Satisfactory

Progress towards achievement of the project objective is rated as **moderately satisfactory**, as summarized below in Table 9.

Table 9: Progress towards results, project objective

Indicator	Baseline	Midterm status	End-of-Project target	MTR assessment
	Date: 2014	May 2019	Nov 2020	
A. Aggregated Average Capacity Development indicator score for CEPA, Madang, Morobe, West Sepik and East Sepik Provincial Government, TCA and TKCP	35.3%	MTR team considers the aggregated average score is not a relevant measure, as the scorecard does not provide a relevant measure of the capacities of provincial agencies and NGOs. And, self-assessment approach diminishes reliability.	62.3%	Unable to assess
B. Total area expansion of the National Protected Area in the Varirata-Sogeri Plateau, YUS and Torricelli Mountains Landscapes	0 ha	0 ha Applications for gazettal of TMR CA (185,000 ha) and YUS CA expansion (75,000 ha) have been submitted to CEPA. Gazettal expected by project closure.	255,000 ha	On target
C. Conducive policy environment for CEPA to operate within	No policy regulating development impacts on biodiversity	Draft biodiversity offsets policy under development at the time of the MTR mission.	An enabling policy that established an effective national system to license and regulate development impacts on biodiversity.	On target
	No clear direction on how funds and revenues will be earmarked within the overall CEPA financial structure	The TOR of the consultancy under contract for development of the biodiversity offsets policy has been amended to include formulation of drafting instructions for a regulation for operationalizing the biodiversity offsets policy. Unlikely to achieve issuance of regulation or similar issuance by project closure in Nov 2020.	An administrative regulation or similar issuance describing the process by which funds and revenues for PA management will be earmarked within the overall CEPA financial structure.	Not on target
D. Number of villages directly benefitting from community-based livelihood activity that contribute to the reducing the extent and intensity of threats to the YUS and Torricelli CAs	0	Baseline figure is incorrect; there were community-based livelihood activities in 2014 at the two PA's. 100 villages are included within the two conservation landscapes: YUS CA (50 villages) and TMR CA (50 villages).	>60	On target
E. IRRF Sub-indicator 1.1.3.A.1.1: Extent to which institutional frameworks are in place for conservation, sustainable use, and/or access and benefit sharing	<i>The concept of community conservation areas is included in the PAP, but with no enabling</i>	YUS CA and proposed TMR CA are essentially demonstrating CCA modalities. Regional roundtables have been initiated on a trial basis. Proposed PA bill not yet approved. Local level	<i>Community conservation areas are mainstreamed in PNG through an enabling institutional framework, supported by CEPA, LLGs and regional roundtables</i>	Not on target

Indicator	Baseline	Midterm status	End-of-Project target	MTR assessment
Date:	2014	May 2019	Nov 2020	
of natural resources, biodiversity and ecosystems.	<i>institutional framework</i>	governments lack capacities and funding. CEPA restructuring stalled.		

As discussed in Section 3.1 of this MTR report, the MTR team considers that the capacity development scorecard is not applicable for measuring the capacity of NGOs and provincial government administrations; the scorecard is rather designed for a PA institution such as CEPA. The envisaged PA expansion end target is expected to be achieved by project closure. The biodiversity offsets policy that is under development at the time of the MTR mission is expected to be approved by CEPA by the November 2020 closure date. Although the TOR for the consultancy contracted to develop the draft policy has been amended for preparation of a drafting instruction for a regulation for biodiversity offsets, there is a moderately low likelihood that the regulation would be drafted and issued before project closure. The cumulative number of villages engaged at the YUS CA and proposed TMR CA exceed the end target of 60; however, not all of these villages have households involved in alternative livelihood ventures. Regarding Objective Indicator E, the project has not yet defined baseline conditions or end target; MTR suggestions are shown above.

Component 1: Management Capabilities of the PNG State to oversee Protected Area Management

Outcome 1.1: Institutional capacity of Conservation and Environment Protection Authority and relevant Provincial Government counterparts for PA system planning and management improved.	
Outcome 1.2: Oversight and coordination of the national PA system is strengthened through standardized and scientifically-based monitoring of status and pressures, agreed national standards and guidelines for PA management and minimum technical standards for PA management and staff.	
Progress towards achieving Outcomes 1.1 and 1.2 is rated as:	Moderately Satisfactory

Outcomes 1.1 and 1.2 were combined in this analysis, as Indicator 1.1 (Capacity of CEPA) and the associated performance metrics are relevant for both. Progress towards achievement of Outcomes 1.1 and 1.2 is rated as **moderately satisfactory**, as outlined below in **Table 10**.

Table 10: Progress towards results, Outcome 1

Indicator	Baseline	Midterm status	End-of-Project target	MTR assessment
Date:	2014	May 2019	Nov 2020	
1.1. Capacity of CEPA	Development indicator score for CEPA: 38%	58.3% (Mar 2019) Results of midterm capacity development scorecard indicate progress towards the end target of 72%. Some inconsistencies are apparent in the scorecard assessments; should be further quality reviewed. Plans for restructuring CEPA have been stalled and there has been limited involvement of CEPA staff on the project.	Development indicator score for CEPA: 72%	Marginally on target
	New PA Policy	PA Policy Implementation Plan (PAPIP) developed with support from the GEF-4 and GEF-5 projects. The PAPIP has been endorsed by the Central Agencies Coordinating Committee (CACC) and pending approval by the National Executive Council (NEC). Achieving NEC approval of the PAPIP and operationalizing the plan before project closure is moderately unlikely, partly due to the change in government and environment minister at end of May 2019.	PNG PA Policy in place and implemented through a formulated Strategic Plan	Marginally on target
	Standards and guidelines: None	The project has facilitated development of the following: <ul style="list-style-type: none"> • Discussion paper to develop a national PA rangers' network. • Draft process for evaluation and gazettal of new PA's. • Draft review of processes and policy briefs to support conversion of PA's to confirm with the proposed PA bill. • Draft standard outline for PA management plans. • Draft roles and responsibilities of provincial governments for PA management. • List of PA policy and implementation guidelines and gaps. Some of the minimum standards and guidelines outlined in the project document have not been yet developed (e.g., performance, management and monitoring standards; PA compliance and law enforcement protocols; community engagement and involvement, etc.). And, it is unclear at what level the standards and guidelines will be approved.	Standards and Guidelines for PA Management in PNG approved	Not on target

Indicator	Baseline	Midterm status	End-of-Project target	MTR assessment
Date:	2014	May 2019	Nov 2020	
	Zero of CEPA's PA Unit staff completed specialised, targeted short-course training in PA oversight and coordination	A competence register was developed applying the IUCN Competence Register guideline, through an online survey to 40 CEPA staff and other personnel. PA Solutions has developed and initiated implementation of a PA training programme. The Biodiversity Consultancy has delivered a series of three trainings on biodiversity offsets. And, drone training has been delivered to CEPA, provincial government administration and NGOs.	>30 of CEPA's PA Unit professional staff completed specialised, targeted short-course training in PA oversight and coordination	On target

In review of the capacity development scorecard for CEPA (see **Table 11**), the most significant improvements between baseline figures and the midterm assessment were for Category 2 (capacity to implement policies, legislation, strategies and programs) and Category 5 (capacity to monitor, evaluate, report and learn. There were no changes recorded for Category 1 (capacity to conceptualize and formulate policies, legislations, strategies and programs and Category 3 (capacity to engage and build consensus among all stakeholders); the baseline for these two categories was 67%. With respect to Category 4 (capacity to mobilize information and knowledge), the midterm assessment was 67%, up from 56% at the baseline in 2014.

Table 11: Summary of baseline and midterm capacity development scorecard assessments of CEPA

Category	Baseline (% of maximum possible score)	Midterm (% of maximum possible score)
1. Capacity to conceptualize and formulate policies, legislations, strategies and programs	67%	67%
2. Capacity to implement policies, legislation, strategies and programs	29%	48%
3. Capacity to engage and build consensus among all stakeholders	67%	67%
4. Capacity to mobilize information and knowledge	56%	67%
5. Capacity to monitor evaluate, report and learn	27%	60%

Capacity building efforts during the second half of the project should consider the results of the capacity development scorecard assessments. It would also be advisable to make a quality review of both the baseline and midterm scores prior to the terminal evaluation, and, if necessary, reconstruct the baselines. For example, under Category 2, a baseline score of zero (0) was applied for "PA institutions totally non-transparent, not being held accountable and not audited"; this seems too low of a score for 2014. Another example is under Category 5, a baseline score of zero (0) was applied for "There is no policy or it is old and not reviewed regularly"; this also seems like too low of a score, as the PA policy was approved in 2014 (should have been validated at project inception).

Outcome 1.3: Effective management of National Parks demonstrated through increased management effectiveness at Varirata National Park and better integration of the Park into the broader Sogeri Plateau landscape to reduce erosion and sedimentation levels in the Laloki River.	
Progress towards achieving Outcome 1.3 is rated as:	Moderately Satisfactory

Progress towards achievement of the Outcome 1.3 is rated as **moderately satisfactory**, as outlined below in **Table 10**.

Table 12: Progress towards results, Outcome 1.3

Indicator	Baseline	Midterm status	End-of-Project target	MTR assessment
Date:	2014	May 2019	Nov 2020	
1.2. METT Scores of Varirata NP	Varirata NP: 27%	54.9% (Feb 2019) End target of 50% seems rather low. Project support to the Varirata NP has been limited.	Varirata NP: 50%	On target
1.3. Sirinumu Dam Integrated Land Use Plan approved and being implemented	No Plan in place	Background information collected; stakeholder consultations started; development of land use plan pending.	Sirinumu Dam Integrated Land Use Plan approved covering a landscape area of > 7000 ha	On target
1.4. Sedimentation levels in the Laloki River as measured at relevant downriver site (and compared to levels in the Sirinumu dam)	To be determined in Year 1 of the project	Minimal sedimentation reported in 2018 study; further studies completed in downstream reaches of the catchment. Baseline and end target should be reformulated, e.g., implementing management measures to maintain ecosystem services.	5% less than the baseline	Not on target

The end target of 50% for the METT score of the Varirata NP seems rather low; e.g., the JICA project has end target of 71.7%.

Regarding the integrated land use plan for the Sogeri Plateau, it would be advisable to clarify which organization will approve the plan. And, a more relevant end target for the envisaged outcome would be, for example, to initiate

improved land use practices. The baseline and end target for Indicator 1.4 should be reformulated, based on the results of the sedimentation study. For instance, achieving a commitment from PNG Power and other users of the ecosystem services to engage with local communities to rehabilitate damaged areas within the landscape and maintain good land use practices.

Component 2: Strengthening the capacity of the state and local communities to cooperatively manage PA sites

Outcome 2.1: Effective management of PAs covering an area of 331,000 hectares	
Progress towards achieving Outcome 2.1 is rated as:	Satisfactory

Progress towards achievement of the Outcome 2.1 is rated as **satisfactory**, as outlined below in **Table 13**.

Table 13: Progress towards results, Outcome 2.1

Indicator	Baseline	Midterm status	End-of-Project target	MTR assessment
	Date: 2014	May 2019	Nov 2020	
2.1. Capacity Development indicator score for Madang, Morobe, West Sepik and East Sepik Provincial Government, TCA and TKCP	Morobe Provincial Government: 27% Madang Provincial Government: 23% East Sepik Provincial Government: 23% West Sepik Provincial Government: 21% TCA: 53% TKCP: 62%	Morobe Provincial Government: 50% Madang Provincial Government: 55% East Sepik Provincial Government: 58% West Sepik Provincial Government: 56% TCA: 70% TKCP: 75% MTR team considers the scorecard does not provide a relevant measure of the capacities of provincial agencies and NGOs. And, the self-assessment approach diminishes reliability	Morobe Provincial Government: 50% Madang Provincial Government: 55% East Sepik Provincial Government: 58% West Sepik Provincial Government: 56% TCA: 70% TKCP: 75%	Unable to assess
2.2. METT Scores of YUS Conservation Area and Torricelli Mountain Range Conservation Area	YUS: 57% Torricelli: 57%	YUS: 69% (Mar 2019) Torricelli: 69% (Mar 2019)	YUS: 75% Torricelli: 72%	On target
2.3. Extent of area under different National PA Categories and covered by Integrated Land Use Plans to direct management	YUS: Conservation Area: 76,000 ha Torricelli: 0 ha Protected Area	YUS: Application submitted for 75,000-ha expansion Torricelli: Application expected to be submitted in June 2019 for gazettal of 185,000-ha CA	YUS: Community Conservation Area: 151,000 ha Torricelli: Community Conservation Area: 180,000 ha	On target
2.4. Stable or increased populations of threatened species - YUS	YUS: Baseline: Matschie's Tree Kangaroo (<i>Dendrolagus matschiei</i>) (Endangered) 250+	Self-assessment reports indicate populations are stable or increasing.	YUS: Stable or increased population: Matschie's Tree Kangaroo (<i>Dendrolagus matschiei</i>) 250+	On target
2.5. Stable or increased populations of threatened species - TMR	Tenkile Tree Kangaroo (<i>Dendrolagus scottae</i>) (Critically Endangered) Population estimate 300+; Weimag Tree Kangaroo (<i>D. pulcherrimus</i>) Population estimate 500+	Self-assessment reports indicate populations are stable or increasing.	Stable or Increased Populations: Tenkile Tree Kangaroo (<i>Dendrolagus scottae</i>), target 300+ Weimag Tree Kangaroo (<i>D. pulcherrimus</i>), 500+	On target

The capacity development scorecard should be adapted to reflect the mandates of the NGOs and provincial government administrations, to provide a more relevant measure of the capacity of these organizations.

With respect to management effectiveness, improvements are reported for both the YUS CA and proposed TMR CA, approaching the end target of 72%. The MTR team were provided with two versions of midterm METT assessments, with different scores. It would be advisable to clear the METT assessments with the UNDP-GEF RTA (lesson learned) and arrange a focal group type arrangement for the terminal assessment, i.e., a more participatory process.

There have been no changes with respect to the area of gazetted protected areas in the two conservation landscapes. TKCP/WPZ have submitted an application to CEPA for gazettal of a 75,000-ha expansion of the CA, under the current

PA legislation. And, at the time of the MTR mission, TCA was in the process of updating their documentation for the gazettal application, also according to existing PA legislation. The application for the proposed TMR CA was expected to be re-submitted to CEPA in June 2018.

Regarding progress towards achieving the environmental status result of stable or increasing populations of target species, there is anecdotal evidence, e.g., camera trap images, GPS collar tracking output and interviews with field rangers, indicating that populations are indeed stable or possibly increasing. It would be advisable to compile and interpret the monitoring data being collected the implementing teams and present sound scientific evidence on the abundance and distribution of the target species prior to the terminal evaluation.

Outcome 2.2: Traditional systems and models for management and conservation of biodiversity strengthened across at least 331,000 ha of priority landscape consisting of: (a) the expanded YUS Community Conservation Area (151,000 ha) and (b) the Torricelli Mountain Range Community Conservation Area (180,000 ha)	
Progress towards achieving Outcome 2.2 is rated as:	Satisfactory

Progress towards achievement of the Outcome 2.2 is rated as **satisfactory**, as outlined below in **Table 13**.

Table 14: Progress towards results, Outcome 2.2

Indicator	Baseline	Midterm status	End-of-Project target	MTR assessment
	Date: 2014	May 2019	Nov 2020	
2.6. Productivity of organic coffee and cocoa in existing agricultural zones in YUS	Coffee = 2.5 tons per year from 22,650 ha	Conservation coffee production and export from 22,650 ha were 30 tons in 2016, 45 tons in 2017 and 29.5 tons in 2018.	Coffee > 30 tons per year from 22,650 ha	On target
	Cocoa = 38.6 tons per year from 6,091 ha.	TKCP currently conducting a market assessment for cocoa. Production was adversely affected in 2016-2018 by the cocoa pod borer pest.	Cocoa > 103 tons per year from 6,091 ha	Not on target
2.7. Formal agreements in place between communities in participating conservation areas and central and/or Provincial Government/ project IAs, to provide financial and in-kind (service provision) support to participating communities, resulting in at least PGK 400 (approximately USD 150) in additional resources per household per year provided to the communities concerned	YUS – US\$ 50 per Household (coffee and cocoa producers)	Self-assessment reporting indicates that YUS Conservation Coffee farmers are earning an average of more than USD 200 per household. Moreover, there has been air freight subsidies committed by the Morobe Provincial Government.	YUS – US\$ 200 per household (coffee and cocoa producers)	On target
	TCA = US\$ 0	Self-assessment reporting indicates the 2,500 households in the conservation landscape have benefitted more than USD 200 per household, through provision of materials and training for rice growing, fish farming and other alternative protein sources, tin roofing for increased rainwater harvesting, etc.). And local and provincial government administrations have pledged monetary and in-kind support.	TCA = US\$ 150 ¹⁰ per household (Alternative Proteins beneficiaries)	On target

The YUS Conservation Coffee farmers have had several years to improve their productivity and TKCP/WPZ has helped with facilitating commitments from foreign buyers. There has been less progress made with respect to conservation cocoa, partly due to damage from the cocoa pod borer pest and also with respect to marketing. According to the LD tracking tool, there are 317 farmers for each crop, totaling 634, or approximately 5% of the cumulative population among the villages in the conservation landscape.

¹⁰ A methodology will have to be developed during project implementation to measure this as “in-kind” or “subsistence” value for the alternative protein activities in TMR CA.

Regarding Indicator 2.7, provision of additional household benefits, both responsible parties self-reported good progress towards achievement of the end targets.). For the YUS CA, the additional resources for the households participating in conservation coffee are more or less recurrent, as long as production and market demand remain high. These benefits are limited to those households. For the TMR CA, the calculation of additional resources to households in the conservation landscape consider the total number of 2,500 households; however, the benefits reported were one-off investments, e.g., provision of materials and training for rice farming, alternative protein sources or for increasing rainwater harvesting. Depending upon the self-motivation of the beneficiaries, these inputs could sustain long-term benefits for the households. The phrasing of this indicator is a bit unclear; it would be advisable to develop a methodology to measure progress towards this indicator and have it approved by the UNDP-GEF RTA, and the project M&E efforts should include periodic monitoring of progress made (recommendation)

3.2.3 Project Outputs

Progress towards delivery of project outputs are discussed below.

Component 1:

A number of technical assistance contracts have been made to support activities under Component 1; the higher value contracts are listed below in **Table 15**.

Table 15: High-value contracts under Component 1

Contractor/Consultancy/Organization	Subject of contract	Value of Contract, USD	Start date	Finish date
The Biodiversity Consultancy	Developing system for mitigation of impacts to biodiversity in PNG (offsets policy)	441,622	31 Oct 2017	31 Aug 2019
Protected Areas Solutions Ltd.	PA planning and management	299,173	20 Nov 2017	10 May 2019
Alluvium Consultancy	Study on sedimentation impacts at Sirinumu Dam and Laloki River	213,791	12 Feb 2018	10 May 2019
Michon Enterprises PTY Ltd.	Training on repair and maintenance of drones	148,000	17 Dec 2018	30 Jun 2020
Pacific Adventist University (grant)	Developing a curriculum for community rangers	150,000	01 Dec 2018	30 Jun 2020
Catalpa International (grant)	Ecosystem monitoring plan	150,000	05 Oct 2018	31 May 2019
Port Moresby Nature Park (grant; PGK 477,000)	Support for building awareness regarding PA's near Port Moresby	140,000	31 May 2018	30 Jun 2020
Deloitte (PGK 446,501)	Change management for CEPA	140,000	06 Apr 2016	Information unavailable
Eco-Custodian Advocates Inc. (grant)	Land use planning for the Sogeri landscape	Information unavailable	Information unavailable	Information unavailable

Output 1.1: Policies and Legislations relating to PA Management and Biodiversity Conservation strengthened

One of the first activities under this output was the development of the Protected Areas Policy Implementation Plan (PAPIP). The plan was drafted with the support of a technical assistance agreement with a national consultant.

The PAPIP has been endorsed by the Minister for Environment & Conservation and Climate Change and pending approval by the National Executive Council (NEC). The Plan has supported CEPA in their work planning and budget allocation request. The 2019 government budget indicates PGK 2 million (approx. USD 580,000) are earmarked for 2019 for capacity building for protected areas, and PGK 0.5 million (approx. USD 145,000) per year in 2020 and 2021, respectively.

One of the activities included under this output was the development of draft PA regulations, through a technical assistance agreement with a PNG consultancy, Alotau Environmental. The draft PA regulations are complementary to the proposed PA bill and approval of the regulations will follow enactment of the PA bill.

A large contract was signed with The Biodiversity Consultancy (TBC) for developing a biodiversity offsets policy, consistent with the aim to institute “an enabling policy that established an effective national system to license and regulate development impacts on biodiversity, within the functional mandate of CEPA; and an administrative regulation or similar issuance describing the process by which funds and revenues for PA management will be earmarked within the overall CEPA financial structure”. TBC has also delivered a series of stakeholder consultations that have been completed; TBC experts also delivered three training sessions on biodiversity offsets. Some of the concepts in the draft policy are planned to be trialed at pilot sites. Fourteen (14) private sector enterprises were contacted and requested to

participate in the pilots; three (3) of the companies responded. The draft policy is expected to be delivered later in 2019.

The technical working group (TWG) outlined in the description of this output in the project document has not materialized as planned. Through the JICA project, an interim National Conservation Council (NCC) has been constituted; this platform has the potential to serve the function envisaged for the TWG.

Output 1.2: Capacity of CEPA emplaced for effective management of the National PA System

The transition from DEC to CEPA started during the time when the implementation of the GEF-4 project was initiated and continued during the GEF-5 project. In 2016, a technical assistance agreement was made with Deloitte to assist CEPA in restructuring the authority and to delivery change management consultancy services. A proposed structure for CEPA was developed and recruitment for more than 30 management positions was commenced, leading up to interviews with short-listed candidates. The process was stalled, however, because the requisite approvals from the Department of Personnel Management (DPM) were not secured. There were later discussions to proceed with recruiting recent graduates as casual staff, but this plan has also not yet been realized. A new Human Resources (HR) Manager was hired by CEPA.

In terms of change management, two international experts from Deloitte delivered a 2-day training in PNG. There does not seem to have been any follow up to this training.

PA Solutions Ltd., one of the other contracted service providers under the project, has also worked with the Sustainable Environment Programs (SEP) of CEPA on restructuring. The first draft of the proposed restructured organization for SEP is presented below in **Figure 3**. Operationalizing the restructuring plans for SEP will likely be realized after the proposed PA bill is approved and the envisaged biodiversity trust fund is operationalized.

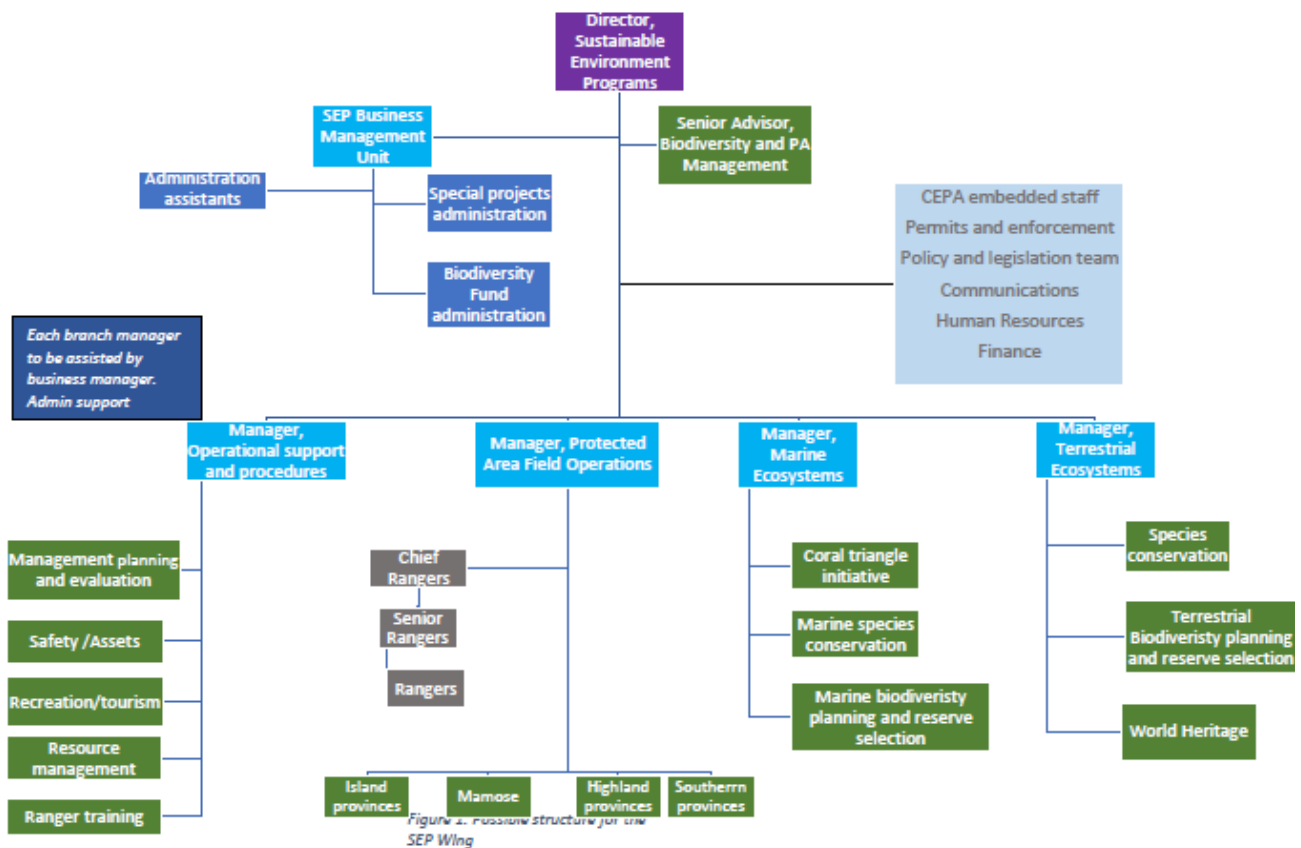


Figure 3: Proposed CEPA organizational structure (first draft)¹¹

PA Solutions has provided technical assistance in developing draft standards and guidelines, including the following ones:

- Discussion paper to develop a national PA rangers’ network.
- Draft process for evaluation and gazettal of new PA’s.

¹¹ Source: Sustainable Environment Programs, CEPA, Papua New Guinea – proposed staff roles and possible structure, 17 September 2018, PA Solutions Ltd.

- Draft review of processes and policy briefs to support conversion of PA’s to confirm with the proposed PA bill.
- Draft standard outline for PA management plans.
- Draft roles and responsibilities of provincial governments for PA management.
- List of PA policy and implementation guidelines and gaps

The description of Output 1.2 in the project document indicates that new standards and guidelines to be develop should include as a minimum:

- Performance, Management and Monitoring Standards at site (or PA) level/category.
- PA category-based information, communication and reporting Management System.
- PA Compliance and Law Enforcement Protocols for Monitoring
- Community engagement and involvement in Conservation Management Guidelines/Procedures.

There has not been progress reported towards development of the standards and guidelines listed above

The description of this output included “establishment and institutionalization of PA data/information and knowledge management system”. A GIS-based database was set up under the GEF-4 project; the database is managed by CEPA, but reportedly not regularly updated. And, there is an existing National Biodiversity Information System (NBIS), initiated more than 10 years with support from the Government of Australia and subsequently by the GEF-4 project. Under the GEF-5 project, a grant has been issued to the organization CATALPA to develop an ecosystem monitoring mobile application, which has been trialed at the Varirata NP.

A separate technical assistance agreement has been made with Michon Enterprises to provide drones for CEPA, the NGO responsible parties and some provincial government administrations. At the time of the MTR mission, the first set of drones had been delivered and trainings were being planned.

GEF funds have also been used to facilitate the development of a PNG adaptation of the management effectiveness tracking tool (METT). The GEF-4 (and later GEF-5) project financed a nationwide survey made by the Secretariat of the Pacific Regional Environment Programme (SPREP); METT assessments were made for all declared PA’s in the country. The PNG adaptation of the METT addresses certain terminology that is consistent with circumstances in the country, e.g., customary land ownership, and phrasing associated with indigenous peoples. The project has sponsored trainings among CEPA and the conservation professional community on the application of the METT as a PA management tool.

The project has not engaged with the UNDP-GEF regional Ridge to Reef (R2R) program in the Pacific, although budget was allocated for participating in joint regional activities. There is a separate R2R project in PNG; it would be advisable to decide how best to allocate funds that were earmarked towards the regional R2R program. (Recommendation).

Output 1.3: Training Programs targeting PA managers institutionalized

PA Solutions is developing a training programme for PA managers and PA planning staff, based on stakeholder consultations and results of a nationwide competence assessment. As shown below in **Figure 4**, the number of PA staff varies among PA’s in the country; in fact, the two PA’s with the highest number of staff are the ones targeted under Component 2 of the GEF-5 project, namely Torricelli (TMR CA) and YUS CA.

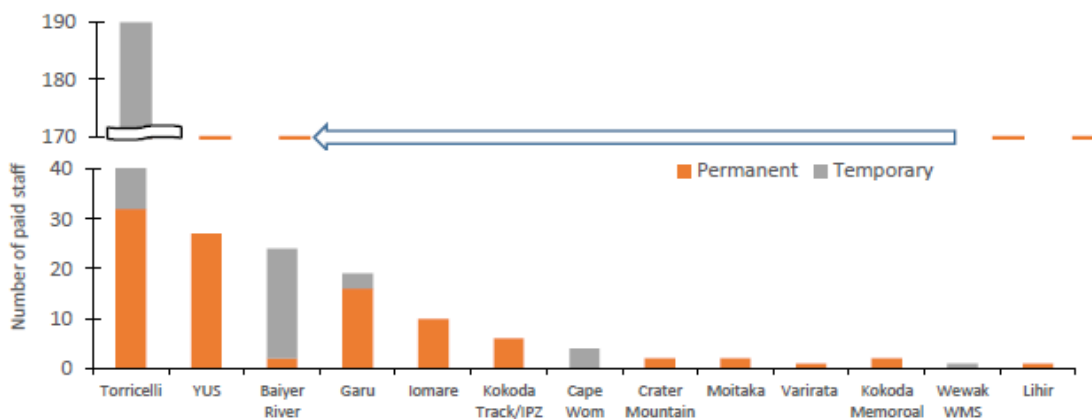


Figure 4: Number of permanent and temporary staff at PA’s in PNG¹²

¹² Source: Peterson, A, Peterson, G, and Leverington, F. (2018). Competence Assessment for Protected Area Management in Papua New Guinea. Part 7: Senior Rangers and Rangers. Report to UNDP, Port Moresby.

The project has also issued a USD 150,000 grant to the Pacific Adventist University (PAU) to develop a curriculum for community rangers.

The description of Output 1.3 in the project document includes implementing SMART¹³ training for all newly contracted rangers across the three target PA's. The YUS CA has introduced SMART for their rangers; it would be advisable to share experiences and lessons learned with the other two PA's, i.e., Varirata NP and TMR CA.

Output 1.4: Effective management of Varirata NP and its integration into the broader Sogeri Plains Landscape

There are two main parts of Output 1.4. Firstly, GEF funds were allocated to support establishment of a functional NP management system for the Varirata NP. The second part of Output 1.4 is development of an integrated land use plan for the broader Sogeri Plateau.

The project has made limited progress with respect to the activities planned for the Varirata NP. And, there has been insufficient collaboration with the JICA team, which is also supporting CEPA at the Varirata NP. A few ideas have been proposed for identifying synergies between the two teams and avoiding duplication of efforts, but there has been no meaningful collaboration to date.

GEF funds were allocated for recruiting to critical positions for the Varirata NP for the full 5 years of project implementation: six law enforcement rangers, two PA managers and two tourism rangers/guides. At the time of the MTR mission, JICA had recruited three rangers for the NP on a temporary, 3-month basis. The GEF-5 project was considering utilizing the UN Volunteer (UNV) programme to assist CEPA to recruit staff for the NP.

With respect to the second part of Output 1.4, two technical assistance contracts have been issued, one with the Australian firm Alluvium Consulting Australia for carrying out a sedimentation study of the Sirinumu Dam and downstream reaches of the Laloki River, and the other with the PNG organization Eco-Custodian Advocates for developing the integrated land use plan.

The contract with Alluvium started in February 2018, and the initial results of the bathymetric survey and sediment sampling were reported in November 2018. The locations of the sediment sampling points are shown in **Figure 5** below.

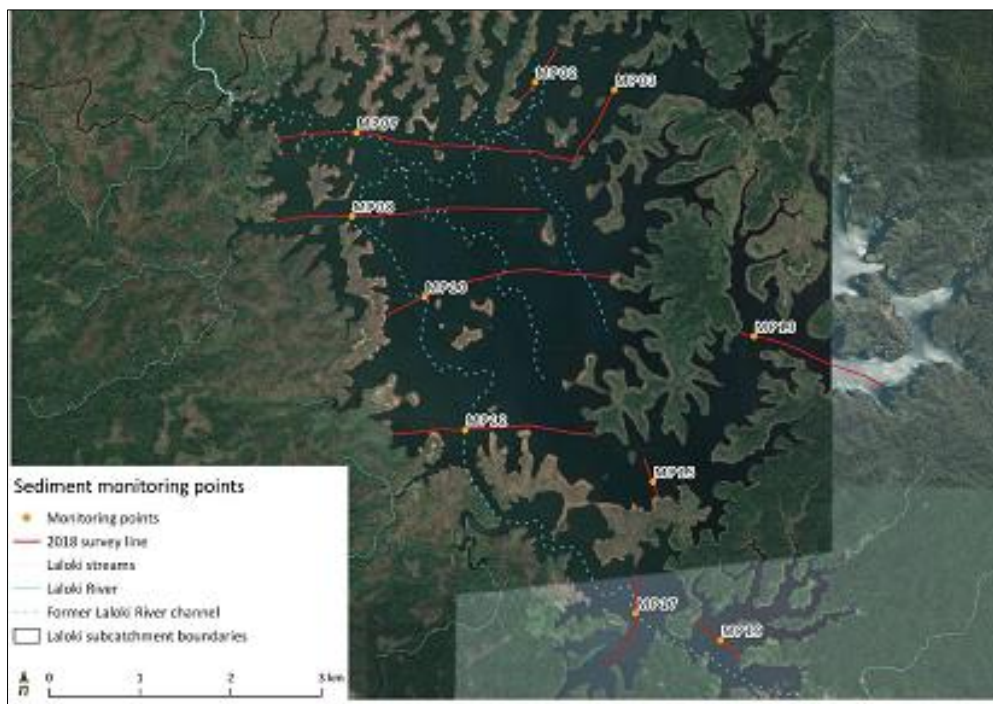


Figure 5: Sogeri Dam, sediment monitoring points, 2018¹⁴

The scope of work under the Alluvium contract was adapted to the realization that the sedimentation issues are not as significant as described in the project document. Field sampling was reduced and the scope was broadened to focus on the other sub-catchment of the Laloki River (Eworogo Creek) and areas downstream of the dam. PNG Power has been actively involved in the Alluvium activities and the results of the studies have enabled PNG Power to improve their

¹³ SMART: Spatial Monitoring and Reporting Tool

¹⁴ Source: Monitoring Report: Sirinumu Dam bathymetric survey and sediment sampling, November 2018. Alluvium.

sedimentation monitoring. The final report from Alluvium is expected to include a series of management recommendations for PNG Power.

Eco-Custodian Advocates have completed comprehensive desk review and started stakeholder consultations in the Sogeri Plateau, as part of the integrated land use planning activity. Development of the land use plan is scheduled to be completed later in 2019 and implementation initiated prior to project closure. Payment for ecosystem services (PES) arrangements are under consideration to support the local communities in the landscape to implement improved land use practices.

Component 2:

Component 2 is split between two sets of two outputs; Outputs 2.1 and 2.2 are focused on the YUS CA and Outputs 2.3 and 2.4 are designed for the proposed TMR CA.

Output 2.1: Expansion and effective management of the YUS Conservation

TKCP has facilitated the development of an integrated YUS landscape level land use plan, as part of the process of expanding the area conservation area to fulfill the landscape approach promoted in the PA Policy. The draft land use plan is shown below in **Figure 6**.

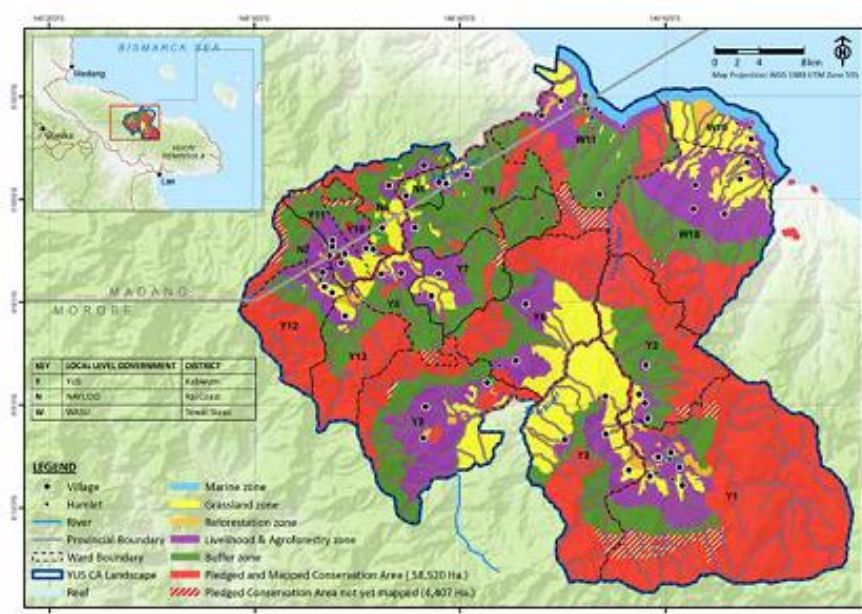


Figure 6: YUS land use plan, 2017¹⁵

The land use plan is a consolidation of ward-level land use plans, incorporating zoning regulations and outlining permitted and prohibited activities. To facilitate understanding among the local communities, a three-dimensional physical model of the land use plan was created. During the MTR field mission, some community members mentioned that the delineation of the expanded conservation area was clearer in the three-dimensional model – and stressing that they were previously unaware how much of their land is included. It would be advisable to further sensitize the local communities regarding what activities are allowed in the landscape.

At the time of the MTR mission, TKCP/WPZ representatives indicated that the documentation for gazettal of the expanded CA are prepared and they had submitted the package to CEPA for review and approval multiple times as CEPA requested new information each time. There were discussions to wait until the proposed PA bill is approved, but considering the timing for approving the bill is uncertain, it was decided to submit under the current legislation. The expanded PA will be the same classification, i.e., conservation area, not a community conservation area which is one of the categories promoted in the proposed PA bill.

When the YUS CA was originally gazetted, a community conservation arrangement was seen as the most viable approach, partly because of the remoteness of the site. The YUS Conservation Organization, a community-based organization (CBO) was established to provide collaborative PA management support to the WPZ. As capacity shortcomings became apparent, TKCP-PNG, an NGO based in the provincial capital Lae, was formed to provide technical and fund-raising support for management of the YUS CA and to provide important field support. TKCP-PNG has about

¹⁵ Source: Annual Report 2017, Tree Kangaroo Conservation Program.

30 staff, and most of these staff are from YUS. The role of the CBO remains important, to maintain consensus among the landowners and clans. The role of the CBO is advisory, not implementation. At the time of the MTR mission, the YUS Conservation Organization was effectively non-functional. The organization elected a new coordinator, but that person did not feel qualified for the position and there is currently no local leadership. Feedback shared during the MTR mission indicates that there are issues to resolve regarding the roles of the TKCP and the CBO. There is a reluctance among some of the local people to provide volunteer-based support, as securing their household livelihoods are of priority importance for them. There remain capacity constraints with the CBO, e.g., with regard to financial management. In order to achieve sustainable PA management, it will be important to further develop the CBO and continue strengthening involvement of local level governmental stakeholders.

As reported in the midterm review self-assessment, TKCP continues to work with community rangers in carrying out monitoring tasks within the CA (utilizing SMART (Spatial Monitoring And Reporting Tool)). International research scientists are collaborating towards a prediction of Matschie’s tree kangaroo distribution and abundance and its entire range on the Huon Peninsula, using GIS and machine learning predictors with open access environmental predictors. Additional tree kangaroo ecological data are being gathered through the use of GPS and motion/altitudinal sensor collars (see **Figure 7**).

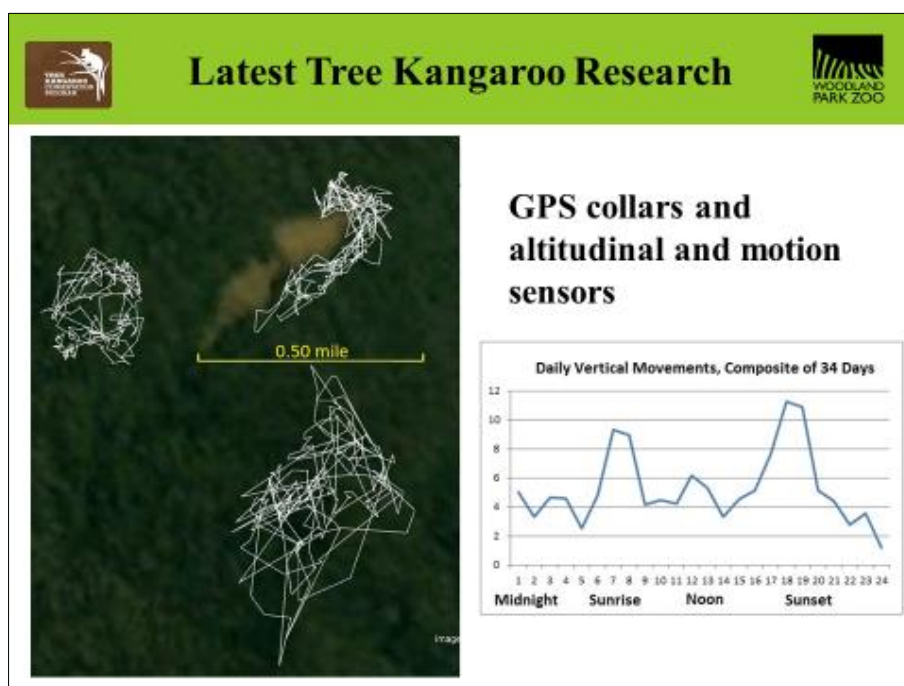


Figure 7: Slide showing tree kangaroo research results, YUS CA

Based on preliminary data collected to date, the population of the Matschie’s tree kangaroo is considered stable in the YUS CA. It would be advisable to highlight the use of these innovative biodiversity monitoring techniques and prepare a technical analysis of environmental status changes that have occurred over the course of the 5-year GEF project and what trends are expected in subsequent years. There are also opportunities for cross-learning among the other two target PA’s on this project and with the other PA’s in the country; as the lead implementing partner for the GEF-5 project, CEPA should take the lead in facilitating this.

Output 2.2: Community livelihood assistance in the YUS landscape

Commodity conservation has been a modality implemented at the YUS CA for a number of years, for facilitating participation among local communities and reducing threats through alternative livelihood ventures. Conservation coffee (see **Figure 8**) and conservation cocoa are the primary commodities produced.

Coffee and cocoa cooperatives have been established with 317 beneficiaries for each crop (total 634, or about 5% of the cumulative 13,592 people residing in the YUS landscape)¹⁶.

As reported in the midterm self-assessment, the first export of YUS Conservation Coffee occurred in 2011 and 120,000 kg have been sold to the Seattle-based Caffe Vita through 2018. More recently, conservation coffee has been supplied

¹⁶ Beneficiary figures taken from the YUS midterm assessment of the LD tracking tool.

to Jasper Coffee based in Melbourne, Australia. During the three full years of project implementation in 2016, 2017 and 2018, production and export of coffee from 22,650 ha were 30 tons, 45 tons and 29.5 tons, respectively.

Production of conservation cocoa is not as developed as for coffee, partly because of available marketing channels and damage from the cocoa pod borer pest during the 2016-2018 seasons. The YUS Conservation Cocoa cooperative has a partnership with the PNG-based Queen Emma Chocolate Company for purchase for sale as a premium single-origin chocolate bar named “YUS Kakao”. TKCP is currently conducting a market assessment to assess opportunities for expanding conservation cocoa activities.



Woman in YUS working for coffee cooperative, Apr 2019

Coffee beans drying, YUS, Apr 2019

Figure 8: Harvesting and drying conservation coffee, YUS CA

Output 2.3: Formal gazetted and effective management of the Torricelli Mountain Range (TMR) Community Conservation Area

Significant progress has been made towards securing the agreements and compiling information required for gazettal of the TMR CA. For example, agreements have been obtained by all 226 clans within the delineated conservation landscape. There have been several gazettal applications, dating back to 2008 and most recently in 2018. As with the YUS CA, there were discussions regarding whether to wait for the application for gazettal until the proposed PA bill is approved, but it was decided to submit the application under the current legislation, as a conservation area (CA) covering an area of 185,000 ha. The earlier applications were reportedly not fully consistent with CEPA’s requirements. In consultation with CEPA staff in recent weeks, the required documentation is being compiled and the application is expected to be made in June 2019.

TCA has incrementally built up their base in Lumi and is actively engaging local people among the 50 communities in the conservation landscape in collaborative management arrangements. According to the midterm METT assessment, there are 34 permanent staff, including 16 full-time project officers, 13 service staff at the Lumi base, 3 management staff (including a public relations manager, operations manager and base manager) and 2 executives (chief executive officer and chief operating officer). There are numerous local people working through part-time or temporary arrangements, including 100 rangers (2 from each of the 50 villages, which are compensated as casual staff depending on available funding), 100 TCA representatives (one male and one female from each village) and approximately 10 conservation area committee members from each of the 50 villages. Other casual employment is provided to local people as carriers, cooks, etc.

The information collected by the field rangers and by increased use of camera traps have produced substantially more information on the abundance and distribution of the three species of tree kangaroo, as well as other threatened species, in the TMR landscape. An example of an image of a tree kangaroo captured by one of the camera traps is shown below in **Figure 9**.



Figure 9: Camera trap image of a tree kangaroo at TMR CA, Nov 2018

Output 2.4: Community livelihood assistance in the Torricelli Mountain Range landscapes proposed CCA: Alternative protein

Providing alternative livelihood options, delivering social co-benefits and increasing awareness among the 50 villages in the TMR conservation landscape are key parts of the strategy that TCA has taken to reduce threats to the threatened tree kangaroo species and to facilitate genuine collaboration by local people towards achieving the conservation objectives.

Delivery of 343 water tanks in an EU-financed project completed in 2015 was transformational in the TMR landscape, where local people have traditionally spent hours per day fetching water from nearby streams, traverse steep mountainsides and dense forests. Funding from the GEF-5 project has built upon these achievements, e.g., through delivering additional tin roofing to increase rainwater harvesting rates. Moreover, project resources have been allocated for supporting alternative protein and other food sources, including fishponds (tilapia), rabbit breeding, rice planting, etc. TCA is also exploring options for commodity conservation. Several of the local farmers are growing vanilla, but the TCA board decided not to promote vanilla, as there have been security issues on the supply chain. Eaglewood (source of agar) is a potential commodity that is being trialed at the conservation landscape, with 400 seedlings grown at the Lumi base (see Figure 10).



Fishpond prototype, TCA base in Lumi

Figure 10: Fishpond prototype and eaglewood seedlings, TMR CA

3.2.4 Remaining Barriers to Achieving the Project Objective

The barriers that need to be overcome in the second half of the project include:

Initiating the planned restructuring of the CEPA organization. The proposed restructuring of the CEPA organization should be initiated incrementally, capitalizing on available GEF funding during the remaining project timeframe.

Delivering substantive support to the Varirata NP. The project should work with CEPA and the JICA team in determining the best use of available GEF resources in supporting the Varirata NP.

Improving internal and external project coherence. Internal collaboration and coordination should be strengthened; CEPA staff members should be more involved on the project; and synergies with cofinancing partners and other complementary projects and programs should be realized. The MTR team recognizes that CEPA is understaffed and there are competing priorities from other donor projects. CEPA management should work with the donor partners on improving integration of project activities into CEPA's planning, budgeting and operating processes.

3.3 Project Implementation and Adaptive Management

Project Implementation and Adaptive Management is rated at: Moderately Satisfactory

3.3.1 Management Arrangements

The project is being implemented under a fully supported national implementation modality (NIM), with UNDP as the GEF implementation agency, CEPA as the lead implementing partner, and WPZ and TCA as responsible parties.

Project steering committee:

The project steering committee has convened two times through midterm:

- August 2017
- November 2018

The composition of the PSC was designed to include CEPA and UNDP as the project executive function, WPZ and TCA as project senior suppliers, and the provinces of East Sepik, West Sepik, Morobe, Madang and Central as senior beneficiaries.

The first meeting in August 2017 was chaired by the CEPA SEP Director and attended by one other CEPA staff member, the UNDP Energy and Environment Programme Analyst, the TKCP Manager and the TCA Chief Operations Manager. The secretariat position was represented by the GEF-4 Technical Specialist and the GEF-5 Project Associate. The provincial, beneficiary members were not present at this meeting; there was a note included in the minutes that UNDP was asked to ensure provincial representatives attend the next meeting. And, there was discussion of exploring the option of constituting a board that would combine the steering committees of all current GEF-financed projects under CEPA.

The minutes of the August 2017 PSC meeting also made reference to the separate inception workshops that were held in Lae (for the YUS CA portion of the project) and Wewak (for the TMR CA portion of the project). It is stated in the minutes that no changes were made to the project document at the outcome level or to indicators.

The second PSC meeting, held on 26 November 2018, was co-chaired by the CEPA SEP Director and the UNDP Environment and Energy Programme Manager, and was attended by a representative from Morobe Province, and a representative from West Sepik Province. The minutes indicated that the Deputy Secretary of the Public Investment Program of the Department of National Planning & Monitoring was absent. There was no mention of the two responsible parties being absent or the other three provinces (East Sepik, Madang and Central). Excluding the two responsible parties on the PSC is considered by the MTR team as a significant omission and should be rectified as soon as possible.

The minutes of the November 2018 PSC meeting contain reference to a partners' meeting that was held on that same day as the PSC meeting. The minutes also mention that CEPA was asked to help TCA formalize their application for gazettal of the TMR CA. A project end date was indicated as July 2020; the correct closing date is 11 November 2020. Annual work plans for 2019-2020 were reviewed during the PSC meeting. Several comments were raised regarding the TMR CA work plan and the concerns regarding the sustainability of the interventions at the TMR conservation landscape. There was a suggestion indicated to develop memoranda of agreements (MoAs) between CEPA and the provincial administrations.

It would be advisable to discuss progress towards results during the PSC meetings, e.g., using the project results framework and/or the PIR reports as reference documents. It would also be advisable to use the opportunity of the PSC

meetings to discuss how the project outputs under Component 1 will be institutionalized by CEPA.

GEF Implementing Agency: UNDP

The UNDP country office (CO) in Port Moresby has provided extensive assistance to the project, firstly through fully supporting CEPA in the implementation of the project. During the time when DEC was transitioning to CEPA, there were also changes made to the management arrangements for UNDP-supported, GEF-financed projects in PNG. A joint project management unit (PMU) was established the UNDP CO, with several functions shared across all GEF projects, including procurement, monitoring & evaluation and financial administration. The international technical coordinator for the GEF-5 project – a term used in lieu of project manager or project coordinator – was also coordinating the GEF-4 project. A dedicated project manager was recruited in September 2018, but for nearly 3 years, the coordinator was overseeing both the GEF-4 and GEF-5 projects. For a full-sized GEF project, with a grant of nearly USD 11 million, a full-time project manager is needed, in the opinion of the MTR team.

A part-time chief technical advisor (CTA) was budgeted in the indicative work plan included in the project document. A CTA was recruited in early 2016, but only worked for approximately one year. The project manager and the CTA have been primarily focused on Component 1 activities. There have been limited M&E visits by the PMU staff to the YUS CA and TMR CA project sites, terms of references developed under Component 2 have not been reviewed by the PMU staff and there has not been substantive strategic guidance provided to the NGO partners.

Technical advisory services have been delivered by the UNDP-GEF regional technical advisor (RTA) based in Bangkok. The RTA provides as needed strategic support to the project team and provides feedback to the project implementation review (PIR) reports. The current RTA visited PNG in 2018, to participate in the development of the GEF-6 project – and he also took the opportunity to speak with implementing partners on the GEF-5 project.

There have been two project implementation review (PIR) reports prepared: 2017 and 2018. The PIR reports provide informative summaries of progress made, with inputs by key project implementation partners. The internal ratings seem a bit high and the reports lack candor regarding issues that are affecting project performance. There are a number of issues that should be highlighted in the PIR reports and included in the project risk log, including but not limited to:

- Delay in delivering technical and financial support to the Varirata NP (10 full-time positions for 5 years were allocated in the indicative project budget).
- Delay in the gazettal of the TMR CA.
- Financial control issues reported in independent spot checks of the two responsible parties.
- High project management costs.
- Delay in approving the proposed PA bill.
- Challenges with respect to the community based organization in the YUS CA.

One of the comparative advantages of UNDP as the GEF implementation agency is their global reach, with resident offices throughout the region. It would be advisable to increase the level of sharing lessons learned and best practices in other countries in the Asia and Pacific region, including on the regional UNDP-GEF Pacific R2R programme. The project has not participated on any regional R2R activities through midterm.

Lead Implementing Partner: CEPA

Under the fully supported NIM arrangements, CEPA has essentially outsourced the project execution function. The PMU staff members have UNDP contracts and the shared service functions, including procurement, M&E and financial administration are housed at the UNDP country office. The project manager has shared her time between the UNDP office and the CEPA office. During the MTR mission, there was reportedly a decision reached that all PMU staff should be based full time at the CEPA office – this would be an important step towards better engaging the CEPA organization.

The head of the SEP Division of CEPA has chaired the two PSC meetings. It is unclear if she is the National Project Director (NPD), or if the Managing Director of CEPA is the NPD. It would be advisable to officially declare who is the NPD, and it is good practice to include the terms of reference of the NPD in the project document (lesson learned).

A few other CEPA staff members have been involved on the project, but their roles are not clearly defined. The CEPA SEP officers that have been actively involved in the Project are the Manager of Terrestrial Protected Areas who manages the VNP and the Terrestrial Ecosystem Manager. It would be advisable to better define the roles of these and other CEPA staff members on the project.

Responsible Party: WPZ/TKCP

The WPZ has been involved in the YUS landscape for many years and was instrumental in realizing the gazettal of the conservation area (CA) in 2009. The YUS Conservation Organization, a community-based organization (CBO), was

established to manage the YUS CA under a community conservation area modality. Due to capacity shortcomings of the CBO, the Tree Kangaroo Conservation Program-PNG, an NGO based in the provincial capital of Lae, was established to provide oversight for the management of the CA. Local rangers provide field monitoring and support scientific research led by WPZ/TKCP. TKCP-PNG has 30 local staff members mainly from YUS.

The YUS CA has strengthened coffee production capacities and facilitated overseas buyers, through a commodity conservation approach.

The project interventions are being guided by the WPZ senior scientist based in the USA and other WPZ staff provide administrative support. TKCP has a full-time manager and has recently hired a finance manager, partly in response to financial management shortcomings identified in independent spot check completed in 2018¹⁷. There have been challenges in sustaining a functioning CBO; a new coordinator of the CBO was elected in 2017, but that person did not take up the position based on self-doubt. At the time of the MTR mission, CBO was not operating and some of the interviewed community members stressed uncertainty in long-term viability of the CBO.

Responsible Party: TCA

TCA is an NGO registered in PNG and has been supporting community conservation initiatives in the TMR landscape for a number of years. The NGO is run by a husband and wife team, and GEF funds have supported the participation of more than 200 people from the 50 villages within the delineated proposed conservation area, as project officers, community rangers, research officers, village focal points, and management and executive positions.

There have also been shortcomings in financial management identified in TCA operations, as documented in financial and spot checks. At the time of the MTR mission in May 2019, TCA management indicated to UNDP that they will seek the support of a professional financial service provider.

3.3.2 Work Planning

The GEF Secretariat approved the project for implementation on 21 July 2015 and the Government of PNG signed the project document on 13 November of that year. CEPA and the two responsible parties WPZ and TCA prepared annual work plans for 2015 – which were all approved on 29 October 2015, but there were no expenditures incurred that year, according to available records.

The project document contains a consolidated, 5-year work plan and budget for the project. In the ensuing years of project implementation, separate annual work plans have been prepared by CEPA, WPZ and TCA. It would be advisable to jointly prepare the annual work plans, e.g., through organizing annual stakeholder workshops, and issuing a consolidated work plan in addition to the individual ones (lesson learned). Starting in November 2018, the project organized a partners meeting; such a meeting would be a good platform for jointly developing the annual work plan for the subsequent year.

The annual work plans are lacking detail budget breakdowns. For example, the approved Component 1 budget outlined in the 2019 AWP is USD 1.8 million, and there are only 9 line items, including an item for USD 0.64 million (Atlas 72100, “Firms”) with no breakdown included.

The November 2018 PSC meeting considered new funding possibilities for supporting the Managalas CA (estimated cost: PGK 565,600 and the legislative review of amendments to the Fauna Control and Protection Act (estimated cost: PGK 376,300). The PSC did not endorse these new funding possibilities.

The project results framework is reported on in the annual project implementation review (PIR) reports and was discussed during the project inception workshops. Output level indicators and targets are included in the annual work plans; it would be advisable to include how these output level indicators contribute towards outcome and objective level results (lesson learned).

3.3.3 Finance and Cofinance

Financial Expenditures:

The cut-off date for project midterm is 31 March 2019. According to available expenditure reports provided by the UNDP CO, a total of USD 5,941,749 of the GEF implementation grant of USD 10,929,358 have been incurred through project midterm, or roughly 54%, as shown below in **Table 16**.

¹⁷ Woodland Park Zoo Implementing Partner Spot Check, prepared by KPMG for UNDP, November 2018.

Table 16: Project expenditures through midterm (USD)

Component	Actual Expenditures (USD)					GEF Grant ProDoc Budget	% spent of ProDoc budget
	2016	2017	2018	2019*	Total		
Component 1	375,695	535,003	1,091,436	166,055	2,168,189	5,109,176	42%
Component 2: WPZ	384,016	522,420	693,997	34,028	1,634,462	2,681,145	61%
Component 2: TCA	544,013	675,393	494,393	(44,839)	1,668,960	2,639,037	63%
Project Management	17,789	162,266	249,223	40,861	470,139	500,000	94%
Total	1,321,513	1,895,083	2,529,048	196,105	5,941,749	10,929,358	54%
Balance:						4,987,609	

Source: combined delivery reports (CDRs) provided by UNDP CO

*2019 expenditures through 31 March

The USD 2,168,189 incurred under Component 1 represents 42% of the indicative budget for this component. For Component 2, there has been USD 1,634,462 spent under the WPZ portion, or 61% of the indicative budget, and USD 1,668,960 under the TCA portion, or 63% of the indicative budget. The negative USD 44,839 reported in Q1 of 2019 for TCA is a correction; there was an equal sum reversal reported in Q1 2018.

For Component 1 (CEPA), financial delivery has ranged from 60% in 2016, 34% in 2017 and 82% in 2018, as shown below in **Figure 11**. Financial delivery for the WPZ portion of Component 2 was 70% in 2016, 74% in 2017 and 92% in 2018. For the TCA portion of Component 2, financial delivery was 97% in 2016, >100% in 2017 and 99% in 2018. There was an advance made to TCA in Q4 of 2016, hence the >100% delivery in 2017.

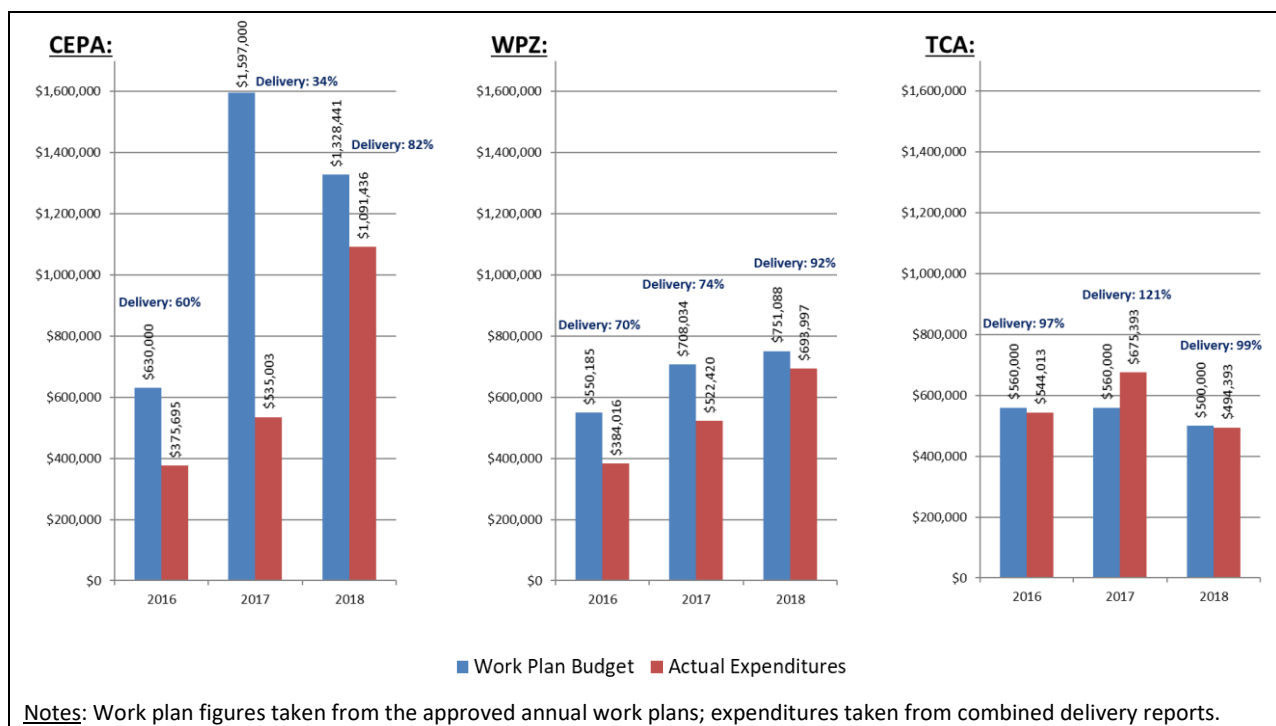


Figure 11: Financial delivery, 2016-2018

Project management costs through midterm are USD 470,139, which is 94% of the indicative USD 500,000 allocated in the project document budget. The rate of spending on project management and allocation of costs under project management should be reconciled.

Financial Audits:

Regular financial spot checks and audits have concluded issues regarding financial management by the two NGO responsible parties. The 2018 financial spot check¹⁸ of WPZ/TKCP operations identified several findings, including:

- Two findings from a micro assessment made in 2015 remained un-remediated in 2018:
 - WPZ does not have an internal audit function.
 - Lack of a formal training policy and procedure for finance and accounting staff.

¹⁸ Woodland Park Zoo Implementing Partner Spot Check, prepared by KPMG for UNDP, November 2018.

- Four findings from an external audit made in April 2018 remained un-remediated later in 2018:
 - Recording and recognition of expenses in a timely manner.
 - Review of petty cash in a timely manner.
 - Employee contracts not on file.
 - Bank reconciliations and review of financial reports.

TKCP has a full-time manager and has recently hired a finance manager, partly in response to financial management shortcomings identified in independent spot checks and audits.

There have also been shortcomings in financial management identified in TCA operations, as documented in financial and spot checks. The 2018 financial spot check¹⁹ identified several findings, including:

- Four of the seven findings from a micro assessment made in 2015 remained un-remediated in 2018:
 - Segregation of duties.
 - Lack of a formal training policy and procedure for finance and accounting staff.
 - Insurance for valuable fixed assets.
 - Internal audit unit.
- Four of the five findings from an external audit made in April 2018 remained un-remediated later in 2018:
 - Recording and recognition of expenses in a timely manner.
 - Petty cash recording.
 - Cash advances and supporting documentation.
 - Personnel expenses.

The audit report of the TCA project financial management operations for the period 01 January through 31 December 2018²⁰ reported two high risk findings and one medium risk finding:

- High risk: Advances issued by UNDP not agreeing to TCA books
- High risk: Employees have not submitted timesheets to the payroll but were paid in cash; and shortcomings in the process of issuing and checking the issuance of checks.
- Medium risk: Asset management shortcomings, including two missing laptops and a damaged iPhone not represented in the fixed assets register.

At the time of the MTR mission in May 2019, TCA management indicated to UNDP that they will seek the support of a professional financial service provider.

There were no spot check or audit reports available for Component 1 and project management. With respect to project management, there are expenditure categories included in the combined delivery reports that are not included in the indicative budget in the project document, including but not limited to the following:

- International Consultants (Atlas 71205)
- Service Contracts – Individuals (Atlas 71415)
- Service Contractor – Communications Service (Atlas 72135)
- Common Services – Premises (Atlas 73125)
- Transportation Equipment (Atlas 72215)
- Acquisition of Communication Equipment (Atlas 72405)
- Learning Costs (Atlas 75705)

It would be important to reconcile which expenditures are charged to project management and which ones are accounted to Component 1 related activities.

Currency Fluctuations and Inflation:

The exchange rate between the Papua New Guinea kina (PGK) and the United States dollar (USD) ranged from 2.8650 at the start of the project on 13 November 2015 to 3.31011 at midterm on 31 March 2019 (see **Figure 12**).

¹⁹ Tenkile Conservation Alliance Implementing Partner Spot Check, prepared by KPMG for UNDP, December 2018.

²⁰ Audit report prepared by DINI Accountants and Advisors, PNG, 9 April 2019 (Ref. 19149ap), Tenkile Conservation Alliance, audit period 01 January through 31 December 2018, prepared by UNDP.

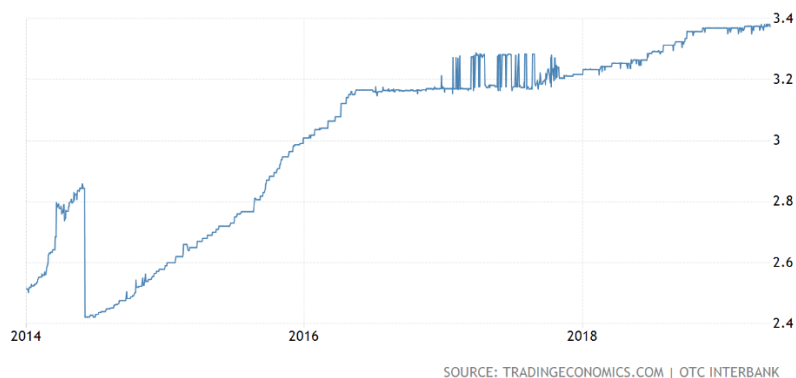


Figure 12: Currency exchange (PGK:USD), 2014-2019

Inflation rates have fluctuated from less than 4% to greater than 6.5% during the first half of the project, as illustrated below in Figure 13.

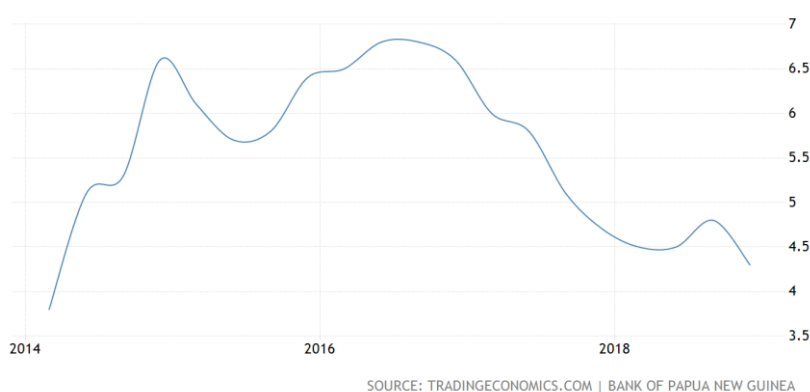


Figure 13: Inflation in PNG, 2014-2019

A large proportion of the project costs is payable in USD. But, there have been some efficiency gains with respect to the expenditures paid out in PGK, as a result of currency value fluctuations and prices not keeping up with inflation.

Cofinancing:

There has been limited tracking of cofinancing contributions during the first half of the project. Based on information provided to the MTR team, the cumulative total of cofinancing contributions by midterm is USD 4,149,55, which is approximately 9% of the confirmed USD 44,409,200 in project cofinancing (see Table 17 and Annex 6).

Table 17: Summary of materialized cofinancing by midterm

Source of Cofinancing	Name of Cofinancier	Type	Amount, USD		
			CEO ER, 2015	MTR, May 2019	Total expected by closure
Recipient government	CEPA	Grant	30,000,000	Information unavailable	Information unavailable
Recipient government	CEPA	In-kind	8,000,000	534,407	1,034,407
Civil society organization	TKCP	Grant	500,000	260,000	500,000
CSO	TKCP	In-kind	250,000	186,000	270,000
CSO	Woodland Park Zoo	Grant	1,650,000	306,000	525,000
CSO	Woodland Park Zoo	In-kind	65,000	701,000	1,233,000
CSO	TCA	In-kind	1,400,000	1,019,811	1,644,002
CSO	TCA	Grant	894,200	528,837	678,837
Beneficiaries	YUS Conservation Organization	In-kind	1,000,000	600,000	1,000,000
Beneficiaries	YUS Conservation Organization	Grant	50,000	13,500	13,500
GEF agency	UNDP (TRAC funds)	Grant	250,000	0	0
GEF agency	UNDP	Grant	350,000	Information unavailable	Information unavailable
Total:			44,409,200	4,149,555	6,898,746

The cofinancing letter from CEPA does not include information on how the confirmed USD 30 million of grant cofinancing and USD 8 million of in-kind contributions are broken down. Reported in-kind cofinancing that has materialized by midterm is USD 534,407 and includes project oversight and support, office space and utilities. Information is pending regarding materialized grant cofinancing.

WPZ provided a breakdown of materialized cofinancing from WPZ (grant and in-kind), from TKCP (grant and in-kind) and from the YUS Conservation Organization (grant and in-kind). The USD 701,000 of in-kind cofinancing from WPZ is significantly more than the USD 65,000 confirmed at project entry; whereas, the USD 306,000 of grant cofinancing materialized by midterm is less than 20% of the USD 1,650,000 confirmed. The total combined in-kind (USD 1,233,000 and grant cofinancing (USD 525,000) from TKCP is expected to be USD 1,758,000 by project closure.

TCA cofinancing is roughly on track to the sums confirmed at project entry. In-kind cofinancing from TCA is expected to exceed the USD 1,400,000 confirmed and in-kind contributions are forecasted to reach approximately 75% of the USD 894,200 confirmed.

The USD 600,000 in UNDP grant cofinancing confirmed at CEO endorsement is broken down into two parts. As TRAC²¹ funding has been significantly reduced to PNG as part of global UN reform processes, this part of UNDP's cofinancing commitment has not materialized. It is unclear from the UNDP cofinancing letter what the other part of grant cofinancing, totaling USD 350,000, is associated with. Information regarding UNDP cofinancing was unavailable.

3.3.4 Project-level Monitoring and Evaluation Systems

The monitoring & evaluation (M&E) plan was prepared using the standard UNDP template for GEF-financed projects. The estimated cost for implementation of the M&E plan, as recorded in the project document, is USD 145,000, which is about 1.3% of the GEF grant. This level of resources allocated for M&E is considered by the MTR team to be low. The UNDP template for GEF-6 projects, for example, suggests that the M&E budget be 5% of the value of the project grant.

The consolidated version of the project document contains the breakdown of the M&E plan and budget. The component specific project documents contain the standard M&E narrative, but there are no separate M&E plans or budgets presented. The project is being supported by a M&E Officer, a member of the joint PMU at the UNDP country office.

A validation workshop was not held prior to finalizing the draft project document, before submittal for approval. The sedimentation issue at the Sirinumu Dam and downstream reaches of the Laloki River described in the project document was not substantiated, for instance. Certain M&E tools, including the capacity development scorecards and tracking tools were also not fully validated with the project partners. And, the indicative breakdown of the project budget in the project document was not shared with some of the implementing partners.²²

The M&E plan allocated USD 20,000 for the project inception workshop, including reporting. A draft project inception report, dated 18 July 2017, was provided to the MTR team for review. Separate inception workshops were held in May 2016, about 6 months after the official start date of the project in November 2015, including one in Wewak for the TCA portion of Component 2 and one in Lae for the WPZ portion of Component 2. There was also reportedly an inception workshop held in Port Moresby for Component 1; however, the Component 1 inception workshop report was not included in the July 2017 inception report file. The following revisions to the project results framework were recommended in the project inception report – but not instituted:

- Objective Indicator D. The villages directly benefitting from community-based livelihood activities were clarified to be in YUS CA.
- Indicator 2.1 (2.1.1). A note was added indicating: "Morobe Provincial Administration, TKCP and Communities have improved capacity on policy, laws, financial management and gender mainstreaming for protected areas management".
- Indicator 2.3 (2.1.3). The baseline and end target populations of Matschie's Tree Kangaroo at the YUS CA were changed from 250+ to 250+ - 300+ and 250+ to 250-360, respectively.
- Indicator 2.6 (2.2.1). Baseline changed to "Coffee = 9 tonnes per year from 30 ha", and end target changed to "Coffee = 21 tonnes per year from 30 ha". And a note added: "Average parchment 150 kg/household".
- Indicator 2.6 (2.2.1). Baseline changed to "Cocoa = 300 kg per ha per household", and end target changed to "Cocoa = 600 kg per ha per household".

²¹ TRAC: Target for Resource Assignment from the Core.

²² Based on feedback during MTR interviews.

- Indicator 2.7 (2.2.2). The terms “coffee” and “cocoa” changed to “conservation coffee” and “conservation cocoa”, respectively.

There are other uncertainties and gaps in the results framework. For example, no details were provided for the objective level indicator regarding the UNDP Strategic Plan, and the methodology for measuring the “in-kind” or “subsistence” value for the alternative protein activities in TMR CA was not developed. Also, as indicated in Section 3.1 of this MTR report, the capacity development scorecard does not provide a relevant measure of the capacities of provincial government administrations and NGOs; rather, the scorecard was developed to measure capacity of PA institutions such as CEPA.

Both NGO partners, WPZ/TKCP and TCA, are leading extensive biodiversity research activities in the YUS CA and TMR CA; however, the information from these efforts are not reflected in project progress reports. The performance metric for the species indicator is to generally achieve stable populations of the target species by project closure, as compared to baseline conditions. The information collected on abundance and distribution could provide more substantial indications of environmental status change.

Development objectives are partly built into project monitoring activities. The number of residents among the communities where the conservation areas are located are documented. Livelihood benefits and social co-benefits are being documented, e.g., for the households involved in coffee production at the YUS CA, or households receiving tin roofs (increased rainwater harvesting potential) at the TMR CA. The results framework is not disaggregated according to gender, but there is some gender-specific information being collected.

Tracking tools:

The project is applying GEF-5 tracking tools under the biodiversity (BD) and land degradation (LD) focal areas. For the BD focal area, the Objective 1, Sections I and II tracking tools are relevant. The midterm assessments (METT scores) are not provided using the GEF-5 worksheet. For the midterm METT assessments, a facilitator led the process and people from the PA management administration participated, including CEPA, TKCP/WPZ and TCA. There did not seem to be participants from provincial or local governments or from the local communities involved in the METT assessments.

With respect to the LD tracking tool, it seems that the responsible parties were not involved in the baseline assessments, as representatives from these organizations indicated to the MTR team that they had seen this tool for the first time when asked to fill it out by the PMU. Midterm assessments were provided separately for the YUS CA and TMR CA; there was not a version provided for the Sogeri Plateau under Component 1 (this landscape is included in the baseline assessment). The self-assessment approach to filling out the LD tracking tool (and the capacity development scorecard) is not considered good practice, in the opinion of the MTR team. These M&E tools should be prepared in a participatory manner, with inputs from key stakeholders.

3.3.5 Stakeholder Engagement and Partnerships

The Stakeholder Involvement Plan included in Part III of the project document includes the following statement: “A full Stakeholder Involvement Plan remains however to be prepared upon project inception and this is already an identified activity”. There was no evidence available that a more detailed stakeholder involvement plan was prepared at project inception. The project inception report, dated July 2017, includes the same stakeholder analysis table that is included in the project document, and a list of the following additional key project stakeholders:

- Japan International Cooperation Agency (JICA)
- James Cook University
- National Capital District Commission
- National Forest Authority
- Cocoa Board of Papua New Guinea
- Coffee Industry Cooperation

Stakeholder engagement has been largely compartmentalized according to the project components. CEPA has been mostly involved on Component 1 activities and WPZ/TKCP and TCA have been engaging with the local stakeholders in the two conservation area landscapes. With respect to the five provincial administrations listed in the project stakeholder analysis, the project has primarily involved West Sepik (TMR CA) and Morobe (YUS CA). There has been less involvement by representatives from East Sepik (TMR CA), Madang (YUS CA) and Central (Sogeri).

The recently constituted Regional Protected Areas Round Table (RPART) provide very useful and important stakeholder engagement platforms. The GEF-5 project has been supporting CEPA in facilitating the roundtable meetings. CEPA should take the lead in these roundtables on a regular basis as the provincial counterparts depend on CEPA for conservation priorities as this function is not decentralized.

A few CEPA staff members have been regularly involved on the project, including the director of the SEP division, and a few of the SEP staff members. But, there is no clear allocation of project duties among CEPA staff. There are two other donors with representatives and teams embedded into the CEPA operations: Kokoda Initiative and JICA. There are direct synergies with JICA, regarding the Varirata NP. The GEF-5 and JICA teams have not satisfactorily collaborated. The teams have identified potential complementary activities, but these efforts have not been effectively realized. There are also potential synergies with the Kokoda Initiative, e.g., regarding the land use plan for the Sogeri Plateau. It will be important to capitalize on these complementarities during the remaining project implementation time.

There has been limited cross-component stakeholder engagement. The project has held one partners meeting, in November 2018, which included representatives from CEPA, TKCP, TCA, UNDP, East Sepik Provincial Administration, West Sepik Provincial Administration, Morobe Provincial Administration, Nature Park and Eco-Custodians Advocates.

Many of the technical assistance contracts under Component 1 have been awarded to international consultancies, although a few have been issued to local companies and organizations, including development of the land use plan for the Sogeri Plateau (Eco Custodians), development of a community ranger training program (Pacific Adventist University) and the local office of Deloitte was contracted to provide change management support to CEPA. Some of the international contractors and consultancies have recruited local experts to support their work, e.g. The Biodiversity Consultancy has hired a local expert, who is stationed at the CEPA office in Port Moresby. The company Alluvium has tried to engage local experts to carry out a social assessment, but have had difficulties with finding a qualified and available person.

One of the important national governmental stakeholders included in stakeholder analysis is the Department of National Planning and Monitoring (DNPM) in the Ministry of National Planning. A representative of DNPM participated in one of the two PSC meetings held. The DNPM is interested in increasing their involvement on the project, as communicated during the MTR mission.

There has been some involvement of other sectors, including forestry and minerals, e.g., as part of the review of the draft biodiversity offsets policy. PNG Power has been involved in the sedimentation study of the Sirinumu Dam. The state-owned water utility companies Water PNG and Eda Ranu also have important stakes in this work; the MTR team did not find evidence of regular involvement of Water PNG and Ed Ranu in the sedimentation studies.

The GEF Small Grants Programme (SGP) has issued grants to the YUS CA and the proposed TMR CA:

- YUS CA: “People and nature: Strengthening the sustainability of, and positive linkages between, ecosystems and coastal livelihoods on the Huon Peninsula, Morobe Province.” (completed in 2017)
- TMR CA: The GEF Small Grant to TCA concluded at the end of 2017 - Biodiversity and Climate Change focal areas).

Based on interviews by the MTR team, the NGO community is largely unaware of what the GEF-5 project is working on.

With regard to the private sector, as part of the development of the biodiversity offsets policy, invitations were sent to 14 enterprises requesting their involvement as pilot sites. Among the 14 contacted, the team received responses from only 3. There has also been private sector involvement by buyers of the conservation coffee and conservation cocoa produced at the YUS CA, including

- Queen Emma Chocolate (Paradise Foods) distributor of ‘YUS Kakao’ chocolates throughout PNG retail outlets.
- Jasper Coffee purchases and sells ‘PNG YUS’ coffee through their operations in Melbourne, Australia and online.
- Caffè Vita purchases and sells ‘PNG Yopno Uruwa Som’ coffee through their operations in Seattle, Washington and across the USA.
- New Guinea Highlands Coffee Exporters mills and facilitates export of all YUS Conservation Coffee to buyers.

3.3.6 Reporting

There have been two project implementation review (PIR) reports by midterm, one in 2017 and the other in 2018. The internal rating in the 2017 PIR report for the expectation that the project will achieve its global environment objective and yield global environmental benefits (DO) was “moderately satisfactory”. There was no rating for implementation progress (IP) in the 2017 report. And the overall risk rating was “high”. The internal ratings in the 2018 report were considerably improved, with overall DO and IP ratings at “satisfactory”, and the overall risk rating was “low”. The MTR team feels that the IP rating and the overall risk rating in the 2018 report were overly optimistic. There are issues with respect to project implementation, including but not limited to the following:

- Delay in gazettal of the TMR CA.
- Delay in approval of the proposed PA bill.
- Lack of progress with respect to restructuring of CEPA.
- Lack of recruitment of PA staff at the Varirata NP.
- Financial management shortcomings among the NGO responsible parties.
- High rate of project management costs.

With respect to project risks, several of the risks identified in the project document were elevated to a higher level of risk during project inception, including social risks.

3.3.7 Communications

With respect to internal communications among the project implementing partners, there has been one partners meeting, held in November 2018. The primary approach has been interacting via email, e.g., delivering inputs for progress reports, email, telephone and through independent spot checks and financial audits. It would be advisable to organize cross-visits among the project sites, rotating the PSC meetings and hold more frequent partner meetings.

The project partners have communicated project information through posts on websites, production of documentary films, publication of online stories such as “A Home in the Clouds” published on the UNDP website with inputs from WPZ/TKCP and TCA (see **Figure 14**), social media posts, radio and television programs, presentations at professional conferences, printed media and community awareness campaigns, including during World Environment Day celebrations in Port Moresby in June 2018.



Figure 14: Screenshot of "A Home in the Clouds" on UNDP website²³

Some examples of project communication efforts listed in the 2018 PIR report include:

YUS:

- TKCP Website: www.treekangaroo.org
- TKCP Facebook: www.facebook.com/TKCPPNG
- TKCP 'A Life in the Clouds' Film: <https://youtu.be/9cXdtS8qNnc>
- TKCP Article, YUS Junior Ranger Program: Wildlife Australia; Spring 2017
- TKCP Article, EcoHealth Initiative: National Newspaper; 14 March 2018
- TKCP Article, YUS Conservation Coffee: Zoo News Member Magazine; Zoos Victoria; Melbourne, AU (June 2017)
- TKCP Article, YUS Conservation Coffee: Zoo News Member Magazine; Zoos Victoria; Melbourne, AU (Dec 2017)
- www.jaspercoffee.com/coffee/kopi-yus.html
- www.caffevita.com/coffee/single-origin/png-yus
- TKCP Annual Reports 2017, 2017

TCA:

²³ Source: <https://undp-biodiversity.exposure.co/a-home-in-the-clouds>

- Twitter @tenkile
- Facebook @tenkile
- www.tenkile.com
- www.intothejungle.net
- TCA launched its movie Into the Jungle with UNDP in Port Moresby during November 2017. This movie was viewed by several Government officials and authorities. The movie is due to Premiere in Melbourne on 31 August 2018 for further exposure of the UNDP GEF partnership.

Other:

- Prince Albert II of Monaco Foundation - Biodiversity Award (June 2018)
- <https://www.hellomonaco.com/news/the-11th-prince-albert-ii-of-monaco-foundation-award-ceremony-reaffirmed-the-urgent-need-to-protect-the-earth-ecosystem-through-a-global-participated-action/>
- Global Energy Award for PNG (June 2018)
- <https://www.energyglobe.info/papuanewguinea2018?cl=en&id=269184>
- ABC Radio Australia - Pacific Beat program (June 2018)
- <http://www.abc.net.au/radio-australia/programs/pacificbeat/pacific-beat-monday/9905500> (11 - 15 minutes in)
- World Environment Day, 05 June 2018 Port Moresby Nature Park Conservation Recognition Award presented by CEPA.
- TCA Project Officers interviewed on Nau FM radio Port Moresby for World Environment Day.
- June 7th Tree Kangaroo and Mammal Group presentation (Malanda, QLD) with a Tablelander article leading up to the event.
- 10 April 2018 IUCN article on TCA's work on Protected Areas.
- https://www.iucn.org/news/commission-environmental-economic-and-social-policy/201804/protecting-torricelli-mountain-range-tenkile-conservation-alliance-tca-papua-new-guinea?utm_campaign=2088035_CEESP%20Newsletter%2024%20May%202018&utm_medium=email&utm_source=IUCN&dm_i=2GI3,18R4Z,48BPNE,3YMYW,1
- Tree Kangaroo Awareness Day May 27th, 2018 - hourly Facebook updates on all tree kangaroo species.
- Startup Tablelands Purpose workshop (Queensland, Australia) keynote speaker 3rd February, 2018
- November 2017 - EMTV news and Kundu 2 coverage of Into the Jungle screening in Port Moresby.
- COO presented TCA's work at the Asia for Animals Conference in Nepal
- Radio New Zealand
- <https://www.radionz.co.nz/international/pacific-news/345403/high-hopes-for-tree-kangaroo-conservation-in-png>
- Loop PNG
- <http://www.looppng.com/community/story-conservation-and-determination-70374#.WiNcaX8pCCs.facebook>
- La Trobe University Alumni 50th Anniversary (November 2017) short film created by Pedestrian.tv
- <https://www.pedestrian.tv/pets/meet-human-bang-job-saving-cuties-extinction/>
- November 13th TCA reaches 10,000 likes on Facebook
- EMTV News, 31 October 2017 (19 minutes in)
- <https://www.youtube.com/watch?v=-2UM1trcp10&feature=share> "What kind of Tree Kangaroo are you?" Quiz for Tree Kangaroo Awareness Day May 2017.
- Future for Nature Manifesto (May 2018)

The project design does not include a communications or knowledge management strategy. One of the recommendations in the 2018 PIR is to prepare a communication strategy for all project components and to set aside adequate budget to implement the communication activities. The project has recently recruited a communications officer.

3.4 Sustainability

Sustainability is generally considered to be the likelihood of continued benefits after the GEF funding ends. Under GEF criteria each sustainability dimension is critical, i.e., the overall ranking cannot be higher than the lowest one among the four assessed risk dimensions.

Overall sustainability rating:

Likelihood that benefits will continue to be delivered after project closure: Moderately likely

Supporting Evidence:

- + Improved management effectiveness of three target conservation areas
- + On track to achieve PA expansion targets
- + Continued donor funding (e.g., GEF, Australian Government, JICA, USAID, etc.)
- + Fund raising skills, endowments and innovative approaches by NGOs and foundations
- + Community conservation areas a cornerstone of the PA policy and draft PA bill
- + Strengthened engagement of local communities in YUS and TMR, providing scale-able demonstrations
- + Strengthened enabling environment, e.g., PA management training, proposed restructuring of CEPA
- + Reduced pressures on ecosystems and threatened species in target conservation landscapes
- + Draft biodiversity offset policy (under development)
- + Strengthened participatory land use planning in the Varirata-Sogeri Plateau landscape
- Limited involvement of CEPA staff in project activities
- Insufficient collaboration with complimentary projects and programs
- Limited government funding for conservation
- Limited cross-learning among the project partners and project sites
- Capacity shortcomings of community based organizations in the target conservation landscapes
- Constraints on establishment of trust funds (Public Money Management Regularization Act 2017)
- Unclear timeline for approval of draft PA bill
- Continued development pressures, including among the mineral resource, oil & gas and forestry sectors
- Long-term impacts of climate change

One of the key strengths of the project is the focus on the participation of local communities in the target conservation landscapes. The strengthened capacities of these communities in collaborative PA management and operating sustainable livelihood ventures enhance the prospects that project results will be sustained after GEF funding ceases. There remain capacity shortcomings, however, and further external support will likely be required over at least the short to medium term. These risks are partly mitigated through the continued technical and financial assistance from multilateral and bilateral donors helps to mitigate these risks and the fund-raising skills and innovative approaches delivered by international and domestic NGOs and foundations. But, there has been insufficient collaboration with complementary projects and programs, including those funded by JICA and the Australian Government, and there has been very limited cross-learning among the implementation teams on the project, i.e., CEPA, TCA and WPZ/TKCP.

With respect to institutional framework, the PA policy implementation plan is an important achievement and contributes towards project sustainability. The draft biodiversity offsets policy that is currently under development further enhances sustainability, and the approved GEF-6 project focuses on sustainable PA financing and is well positioned to support CEPA in advancing the operationalization of biodiversity offsets in the country.

The limited involvement of CEPA staff on project activities and the unclear pathways for institutionalizing some of the project outputs significantly diminishes project sustainability. The capacity building modality involving recruiting technical assistance consultancies should be reassessed, e.g., assigning CEPA staff members as focal points for each assignment, resulting in more of a mentoring arrangement, encouraging mainstreaming of concepts throughout the organization and increasing the likelihood that project outputs will be institutionalized.

There continues to be very little government funding allocated for conservation and the proposed CEPA restructuring plans have been put on hold. And, there is no clear timeline for approval of the proposed PA bill; and the risk for further delays is increased due to the changes in government and institutional leadership positions at the end of May 2019.

Due to the wealth of natural resources in PNG, development pressures from the mineral, oil & gas and forestry sectors (although not immediate to the project target sites) impact sustainability of project results. And, it will take time to transition PA management oversight of community conservation areas to sub-national governmental stakeholders. In the long-term, it will be necessary to reach sustainable management of the PA system in PNG in a way that matches

local capacities and traditional knowledge, while pragmatically addressing the key threats to biodiversity and ecosystem services.

Developing local capacity to manage the resources in their communities is a fundamental issue for sustainability of PA management in PNG. NGOs supported PAs and Varirata NP including the Managalas PA not funded by this project share similar landowner capacity issues. The lack of specific skill sets, including financial management, are common gaps hindering successful community conservation initiatives. In PNG as long as the landowners mobilize their own people and land for conservation, the initiatives will hold for a long time. It is a challenge to balance the need to sustain the operational and financial viability of an NGO with empowering local landowners to take more control of conservation in their communities. The process is incremental and takes time.

Overall, the likelihood that benefits will continue to be delivered after project closure is rated as **moderately likely**. The following sections include considerations across the four sustainability risk dimensions, including financial, institutional and governance, socioeconomic, and environmental

3.4.1 Financial Risks to Sustainability

There are a number of factors that contribute towards mitigating the financial risks associated with achieving and sustaining effective PA management in PNG. Firstly, donor funding remains substantial. At the time of the MTR of this project, preparations were underway to initiate the implementation of a GEF-6 project that focuses on sustainable PA financing. The Australian Government continues to provide financial and technical assistance through the Kokoda Initiative and other programs. JICA has provided long-standing financial and technical assistance on environmental management issues, including the ongoing support to the Varirata NP that is directly complementary to the GEF-5 project. And, the USAID is initiating a 5-year, USD 19 million biodiversity program in PNG. Apart from multilateral and bilateral donor funding, NGOs and foundations continue to make significant investments in biodiversity conservation in PNG. The endowment fund set up for the YUS Conservation Area is a good example of such funding; it is important that disbursements from the endowment balance scientific research needs with community livelihood needs, in order to maintain meaningful engagement with local communities over the long-term

The fund-raising skills of local NGOs, including TCA and TKCP further enhance the likelihood that results achieved on the project will be sustained, if properly managed and local structures such as CBOs are integrated into the collaborative management processes. TKCP has successfully established a YUS Conservation Area Management Endowment that is housed and managed at WPZ which provides sustainable funding for a portion of management activities. More investment is needed. There is need to strengthen the financial management capacities of CBOs, in order to enable them to successfully raise their own funding and establish functional working connections with local level government units.

The project is also making important policy contributions, including development of a draft biodiversity offset policy and drafting instruction. These mechanisms will contribute towards an enabling legal framework that facilitates sustainable PA financing. And, the GEF-6 project is positioned to follow up with implementation support.

The role of the DNPM on this project and other UNDP-GEF projects should be strengthened, e.g., through co-chairing the PSC. Involvement of the DNPM can better assist CEPA in tapping into recurrent development funding and other government funding opportunities.

At the community level, the project activities in the YUS and TMR landscapes further strengthen local capacities for collaborative PA management and sustainable livelihood ventures. The community conservation area modality is one of the cornerstones in the draft PA bill, i.e., essentially the only financially viable option for PA management in many parts of PNG is through community co-management arrangements. Landowners, therefore, become active and important partners to the implementers of UNDP-GEF projects. And, capacity building for CBOs is critical in ensuring the sustainability of community conservation initiatives. Clan leaders and councilors utilize the services of CBOs as platforms for securing consensus on conservation plans and discouraging damaging development activities.

There are factors, however, that diminish the likelihood that project results will be sustained after GEF funding ceases. For example, there continues to be limited government funding allocated for conservation. And, there have been recent constraints emplaced on the implementation of trust funds, through the enactment of the Public Money Management Regularisation Act 2017 (No. 17 of 2017), which sets a framework that requires 90% of money collected in trust funds to be controlled by the central government. This 90/10 rule increases the uncertainty regarding the feasibility of establishing a conservation trust fund that is envisaged in the draft biodiversity offsets policy, for example.

And, sustaining some of the community ranger modalities being implemented, e.g., at the TMR landscape, are tenuous over the short to medium term without continued donor funding.

In summary, the financial risks associated with achieving and sustaining effective PA management in PNG remain relevant, and a rating of **moderately likely** is applied to this dimension of project sustainability.

3.4.2 Socioeconomic Risks to Sustainability

With respect to socioeconomic risks to sustainability, the project has successfully demonstrated community-driven conservation modalities, something that is highlighted in the PA policy approved in 2014 and the draft PA bill.

Reaching consensus among the large number of customary landowners in the YUS and TMR landscapes and inclusive participation in the development of integrated land use plans further enhances the likelihood that project results will be sustained.

The participatory conservation initiatives have resulted in numerous social co-benefits delivered to the communities, e.g., rainwater harvesting, improved health and hygiene, skills training for sustainable livelihood ventures and strengthened social cohesion. The activities in the YUS and TRM landscapes have also empowered women, e.g., increased decision-making roles, introduction of livelihood skills and saved time as a result of improved water supplies.

Despite the complexities associated with gender mainstreaming within the Melanesian context and in the absence of specific gender specific activity, the importance of disaggregated data for sex and age for planning purposes is helpful.

The social co-benefits generated in the local communities demonstrate the shortcomings that local level governments have in delivering such services. The limited capacities and inappropriate allocations of funding and/or lack of funding to local and provincial governmental agencies diminishes the sustainability prospects.

There are also capacity limitations among the community based organizations in the conservation landscapes. It will take time and external support to further enhance the capacities of these CBOs. The challenges regarding the operation and management of the CBO in the YUS conservation area landscape is an example of this. Enabling stakeholders, including local level governments and NGOs need to realize the important role that CBOs can play in local communities and engage with them in meaningful partnerships to help facilitate delivery of social services.

Although advances have been made with respect to sustainable livelihood ventures, there are external constraints that local communities are faced with, including difficult access to market and other infrastructure shortcomings. And, there remain development pressures across PNG from the mineral, oil & gas and forestry sectors, although the target sites under this project are not directly affected. The rugged terrain, mountainous landscapes and remoteness of both YUS and TMR helps in the realizing conservation objectives, and these settings provide ideal demonstration grounds for innovative conservation efforts to be trialed.

Moreover, changing behavior and overcoming cultural preferences and habits take time and require oversight. The TKCP and TCA are based in the country's most remote districts; people's perception and understanding require more awareness. Traditional practices can hinder gender and youth involvements. Village birth volunteers in TKCP and female representatives to TCA might work well with consistent support from the district and provincial governments, facilitated by the NGOs.

Considering the factors outlined above, the socioeconomic dimension of project sustainability is rated as **moderately likely**.

3.4.3 Institutional Framework and Governance Risks to Sustainability

The development and approval of the PA policy implementation plan enhances the institutional framework in PNG for PA management, providing CEPA with a practical roadmap. The trainings delivered to CEPA staff and other PA stakeholders will further contribute to the institutional enabling environment. Moreover, the proposed restructuring plans for CEPA and the draft biodiversity offsets policy under development are important steps towards achieving sustainable operation of the authority and effective governance of the national PA system.

Community level governance modalities strengthened at the YUS and TMR conservation landscapes are scale-able demonstrations across the PA system.

The limited involvement of CEPA staff in project activities and unclear pathways for institutionalizing project outputs diminish overall project sustainability. For example, restructuring plans, including recruitment of additional CEPA staff, have been put on hold. Limited feedback has been given to draft consultancy deliverables, and CEPA staff have not made regular visits to the YUS or TMR landscapes. Moreover, the timeline for approval of the draft PA bill is uncertain, and these delays will likely be extended partly due to the recent change in government (end of May 2019).

There is also room for improvement in terms of cross-sectoral collaboration regarding PA management. The transition of the former Department of Environment and Conservation (DEC) to CEPA seems to have contributed to a decrease in

cross-sectoral collaboration and coordination. For example, water resources management was formerly under DEC, whereas this function is not part of CEPA's mandate. Other relevant sectors include – but are not limited to - forestry, fisheries and marine resources, agriculture, mineral resources, rural development, lands and physical planning, tourism and national planning and monitoring.

There is trend towards decentralizing governmental functions in the country; something that is reflected in the PA policy, i.e., devolving PA management authority to the provinces. However, provincial and local governments do not have a clear mandate and essentially no funding streams for PA management. Some of these issues will likely be addressed once the draft PA bill is approved and resources are allocated to staff and fund sub-national level PA management administrations. But it will take time to develop capacities.

Institutional framework and governance risks remain relevant. At midterm, a rating of **moderately likely** is applied for this sustainability dimension.

3.4.4 Environmental Risks to Sustainability

The project is on track to meet the envisaged PA expansion targets, with an estimated 331,000 ha expected. This expansion would result in improved conservation of unprotected species and ecosystems. Reduced pressures on ecosystems and threatened species in the target PA landscapes, as of increased uptake of alternative protein sources, strengthened livelihood ventures among the target communities and collaborative management of PA's, further enhance the likelihood that project results will be sustained.

Although there are vast expanses of pristine terrestrial and marine ecosystems in PNG, development pressures remain a concern, as the country is rich in mineral resources, oil & gas, forests and fish (e.g., tuna) and other marine resources.

Invasive alien species (IAS) have been identified as a concern in PNG, as is the case in many other countries in the Pacific. The Varirata NP has widespread invasive shrub species (*clidemia miconia crenata*) along walking tracks while small invasive tree species (*spiked pepper piper adnucum*) in YUS.

And, the potential consequences and uncertainties associated with long term climate change impacts diminish sustainability.

A **likely** rating has been applied for the environmental sustainability dimension at midterm.

4 Conclusions and Recommendations

4.1 Conclusions

The project strategy is predicated on strengthening the enabling environment for achieving and sustaining effective management of existing PA's and leads to an expansion of the national PA system that partly devolves conservation governance to local communities.

The project has facilitated further advancement of PA policy frameworks, including development of the Protected Area Policy Implementation Plan, which is an important step towards operationalizing the Protected Area Policy approved in 2014 with support of the GEF-4 financed project. Furthermore, a biodiversity offsets policy is under development and is envisaged to be a critical element of the strategy for achieving sustainable PA financing, the focus of the approved GEF-6 project. Trainings have been delivered to CEPA and other stakeholders on PA management, the management effectiveness tracking tool (METT) is being adapted to the contextual circumstances in PNG and a restructuring plan has been developed for CEPA. Implementing the restructuring plan which includes recruitment of additional CEPA staff has been put on hold, which is one example of a general shortcoming in country ownership. There has also been limited involvement by CEPA on some of the project activities, rendering it uncertain how the project outputs will be institutionalized.

Declaration of a new protected area, i.e., the TMR conservation area, and expansion of the PA system are among the key global environmental benefits envisaged under this project. Notwithstanding that the project seems to be on track to reach these targets, the project is not sufficiently taking advantage of the added value offered by the GEF funds in delivering these global environmental benefits, e.g., organizing learning exchanges among the target sites, facilitating genuine involvement of provincial and local government units and supporting advocacy for ensuring the PA declaration and expansions are achieved according to relevant regulatory requirements and within the timeframe of the project.

The sedimentation study made for the Sirinumu Dam and downstream reaches of the Laloki River have provided useful information to the management authorities of these resources; the scope of these activities was modified through an adaptive management intervention, as the baseline scenario indicated excessive sedimentation in the basin were found to be unsubstantiated. With regard to the other activities in the Sogeri Plateau, there has been less progress with regard

to the Varirata National Park (NP). The delays in initiating technical support to the Varirata NP have adversely affected project effectiveness and efficiency. The collaboration with the JICA team that is also working on delivering technical and financial assistance to the NP has been unsatisfactory. With only 1-1/2 years remaining under the GEF-5 project and less time for the JICA project, there is limited time available to salvage a meaningful collaborative effort at strengthening the management and long-term viability of the Varirata NP.

The improvements in management effectiveness reported for the YUS CA and TMR conservation landscape are partly attributed to strengthened community involvement facilitated by WPZ/TKCP and TCA; these organizations have been working in these areas for a number of years. Commodity conservation is the approach being implemented at the YUS CA (coffee) and one that is widely promoted throughout PNG, e.g., at the recently declared Managalas CA (cocoa). The TMR conservation landscape has also been exploring the viability of different commodities, including vanilla, although there have been prohibitive security concerns along the supply chain, and more recently agarwood (eaglewood). The basic premise of commodity conservation is that products produced by local communities are consumed and paid for by global constituencies; with the assumption that local ways of life that might be threatening to biodiversity would be compelled to shift towards market-based activities that are less consumptive. And, there are increasing expectations that such market-based principles will not only achieve positive conservation outcomes, but also poverty reduction and infrastructure development in rural areas. The experiences at the YUS and TMR conservation landscapes could provide valuable lessons in the viability of these approaches. For instance, the YUS CA is facing challenges in maintaining a functioning and committed community based organization, and the role of local government units in delivering social services is becoming obscured as parts of communities within the conservation landscapes benefit from donor funding. The lessons learned on this project could provide the Government of PNG with practical guidance to their efforts at devolving conservation governance and, also, could help the GEF biodiversity portfolio with useful insights, as commodity conservation is extensively being practiced.

As described above, there have been notable achievements under both Component 1 and Component 2; however, there is a lack of internal and external coherence on the project. The project is essentially being run as three separate interventions. The responsible parties, TCA and WPZ, have only been invited to the first project steering committee meeting, the PMU is primarily focused on Component 1 activities and there has been limited sharing of lessons learned and best practices among the project implementing partners. For instance, integrated land use planning is being carried out in each of the three conservation landscapes, including the YUS conservation area, the TMR conservation landscape and the Varirata-Sogeri Plateau; there has been limited collaboration among the implementing partners and contracted service providers.

The GEF grant is significant, at nearly USD 11 million, and there are several interventions running concurrently across the three conservation landscapes, as well as national level policy and capacity development activities. The project management unit is under-staffed and there is a lack of clarity of the role of the project manager – a term that is better suited to the function than “international technical coordinator”. Until September 2018, the project manager was also overseeing the ongoing GEF-4 project; the MTR team considers that arrangement as an unrealistic burden and counter-productive for the management of two full-sized GEF projects. The recruitment of a dedicated project manager in September 2018 has increased continuity on the project; however, the terms of reference for this position does not sufficiently outline the role of the project manager in overseeing the entire project, not only Component 1.

A part-time chief technical advisor was budgeted for the project but only staffed during the first year of implementation and the focus of the CTA was on Component 1 activities, with limited technical assistance delivered to the interventions under Component 2. There is a need strengthen the process of delivering constructive technical and strategic review of project deliverables, ensuring value-for-money of the services rendered and increasing the likelihood that project outputs are sustained after GEF funding ceases. The project should increase engagement with the UNDP-GEF regional technical advisor based in Bangkok, e.g., supporting approval of high value contracts, delivering strategic guidance and facilitating South-South cooperation among other UNDP-GEF projects in the region.

There have been other deficiencies with respect to project efficiency, including financial management shortcomings identified in spot checks and independent financial audits of two responsible parties, WPZ/TKCP and TCA. Many of the issues highlighted in the audits were flagged in the HACT assessments made during the project development phase. TKCP has added a finance manager to their organization and TCA has indicated that they will seek the support of a professional financial services provide; financial management risks should be highlighted in the project’s risk management process. Project management costs stood at USD 470,139 through 31 March 2019, which is 94% of the USD 500,000 allocated; costs allocated to project management need to be reconciled.

There is room for improvement in terms of monitoring & evaluation, e.g., providing candid accounts of challenges in project progress reports, tracking cofinancing contributions and identifying and operationalizing synergies, and orienting M&E efforts with respect to progress towards impact considerations (i.e., environmental stress reduction,

environmental status change, gender mainstreaming, etc.). Some of indicators and performance metrics in the project results framework are unclear and outdated, e.g., the capacity development scorecards were not designed to measure capacities of provincial government departments and NGOs, the reduction in sedimentation levels for the Laloki River are likely not relevant and the methodology for measuring livelihood benefits has not been elaborated. The interventions designed according to the GEF land degradation focal area, including rehabilitation of degraded lands and reduction in sedimentation levels, will likely not be realized under the project and should, therefore, be reconsidered at midterm.

The implementing partners have separately produced knowledge products and communicated project results to certain stakeholder groups. It would be advisable to design and deliver a joint knowledge management strategy and action plan.

4.2 Lessons Learned

A few lessons learned identified during the MTR include:

Design:

- It is advisable to have a separate component on knowledge management and M&E.
- Gender mainstreaming objectives should be integrated into the project results framework.
- Project design should be validated with key stakeholders before finalizing project document.

Implementation:

- A full-time project manager should be provided for full-sized GEF projects.
- Enough time and resources should be allocated on the inception phase of the project.
- Cofinancing should be tracked from the beginning of the project, including cofinancing that is mobilized during project implementation.
- Participatory processes should be implemented for assessing the METT and other M&E tools.

4.3 Recommendations

No.	Recommendation	Responsibility
1.	Improve project coherence through strengthening project governance arrangements, internal coordination and communication. Improvements should include, but not be limited to: (a) include TCA and WPZ/TKCP on project steering committee (PSC); (b) prepare a project-specific terms of reference (TOR) for the PSC; (c) consider inviting DNPM to co-chair the PSC; (d) officially identify and prepare a TOR for the National Project Director; (e) update the TOR for the project manager; (f) invite JICA and Kokoda Initiative representatives to PSC meetings (as observers); (g) rotate PSC meetings among project sites; and (h) organize cross-learning exchanges among the project sites.	PMU, CEPA, UNDP, TCA, WPZ/TKCP, DNPM
2.	Increase involvement of CEPA staff and advocate and facilitate institutionalization of project outputs. Recommended actions included, but are not limited to: (a) identify the roles of CEPA staff members on the project; (b) assign a CEPA staff member with each technical assistance team; (c) issue and brand project outputs as CEPA deliverables; and (d) link this issue to risk management process and regularly report progress/issues.	CEPA, PMU
3.	Prioritize mobilization of on-the-ground support to the Varirata National Park. In coordination with CEPA and JICA teams, prepare an adaptive management implementation plan for the final 1-1/2 years of the project regarding the Varirata NP, including coordination of recruitment of NP staff to the organization proposed in draft management plan for the NP. The annual work plan for 2019 should be reviewed to according to the agreed support to the Varirata NP, which might affect the new funding considerations for the Managalas CA & Review of Fauna (Control & Protection) Act.	CEPA, PMU, PSC
4.	Improve financial controls and oversight. Recommended improvements for strengthening financial management include, but are not limited to: (a) responsible parties should retain support from professional financial professionals or service providers; (b) allocation of project management costs should be reconciled; (c) and cofinancing contributions should be regularly tracked, also including cofinancing materialized after start of implementation.	UNDP, CEPA, TCA, WPZ/TKCP
5.	Improve project monitoring & evaluation. Recommended improvements include, but are not limited to: (a) finalize the midterm tracking tool assessments and clear with the UNDP-GEF RTA, including reconciling midterm METT scores; (b) adapt the capacity development scorecard according to the mandates of the NGO responsible parties and provincial government administrations; (c) update the project results framework; (d) integrate gender mainstreaming objectives into the results framework; (e) reflect the envisaged project outcomes in the results framework; (f) orient project M&E according to progress towards long-term impact considerations and	PMU, UNDP (CO and RTA), CEPA, PSC, TCA, WPZ/TKCP

No.	Recommendation	Responsibility
	maintain a record; (g) strengthen risk management, e.g., delays in approval of the proposed PA bill, gazettal of TMRCA, expansion of YUS CA, challenges with respect to the YUS CBO.	
6.	Strengthen project oversight , through (a) recruiting a part-time chief technical advisor to support review of technical outputs and liaise with CEPA officials, ensuring value-for-money of the services rendered and increasing the likelihood that project outputs are sustained after GEF funding ceases, and (b) increasing engagement with the UNDP-GEF regional technical advisor based in Bangkok, e.g., supporting approval of high value contracts, delivering strategic guidance and facilitating South-South cooperation among other UNDP-GEF projects in the region.	PMU, CEPA, UNDP (CO and RTA)
7.	Design and implement a project communication and knowledge management strategy and action plan. It would be advisable to prepare a joint communication and knowledge management strategy and action plan.	PMU, CEPA, TCA, WPZ/TKCP
8.	Develop and implement a sustainability strategy and action plan. Link the strategy and action plan to the project theory of change (draft theory of change provided in the MTR report). Implementation of the action plan should start during the second half of the project and extend over the timelines outlined in the theory of change. One part of the sustainability strategy should address increasing involvement and strengthening capacities of landowners and community based organizations (CBOs) in leading community conservation modalities.	PMU, CEPA, UNDP, TCA, WPZ/TKCP
9.	Increase participation of the PNG professional community. Create a roster of PNG specialists and institute a policy of assigning a national counterpart with each international consultancy.	UNDP, CEPA
10.	Commission an analysis of lessons learned and best practices regarding implementation of commodity conservation. Commodity conservation is an important modality for PNG and is widely promoted globally. Such an analysis would provide valuable insight for PA management administrations, PA institutions, local governments and the broader conservation community.	PMU, TCA, WPZ/TKCP

Midterm Review Report, 2019

R2R Strengthening the Management Effectiveness of the National System of Protected Areas (Papua New Guinea)

UNDP PIMS ID: 5261; GEF Project ID: 5510

Annex 1: MTR Mission Itinerary

Date	Time	Activity	Location	Project Actor	Project Role	Stakeholder
31 March Sunday	3:30pm-4:30pm	Meeting with TCA Finance and Administration	Holiday Inn Express	Jean Thomas Administration Manager - TCA	Implementing Partner	INGO/NGO
01 April Monday	10:00-11:00am	Meeting with GEF 5 ENB	Holiday Inn Hotel	Maureen Ewai – ENB Coordinator GEF 4	Multilateral Organisation	UNDP Projects
05 April Friday	6:10am-6:55am	Fly Pom-Lae (Air Niugini)				
	10:00am-11:00am	Meeting with Provincial Government	Morobe Provincial Office	Robin Kiki - Provincial Administration, Coordinator Environment/Climate Change	Morobe Province	Gov't
	11:00am-12:00am	Meeting with Kabwum District/LLG	Morobe Provincial Office	LLG President/Deputy President, District Development Officer (Kabwum)	Morobe Province District/Local level	Gov't
	1:00pm-2:00pm	Meeting with TKCP Scientist	Tree Kangaroo Project Office	Dr Lisa Dabek-Director Snr Conservation Scientist	Implementing Partner	INGO/NGO
	2:30PM-4:00pm	Meeting with Field Officers	Tree Kangaroo Project Office	YUS villages	YUS CO/Researchers	CBOs
06 April Saturday	8:00am-11:00am	Prepare for field trip				
09 April Tuesday	9:45am-10:25am	Flight Lae-Yawan (North Coast Aviation-NCA)				
	10:30am	Meet YUS community				
	1:00am-4:00pm	Meeting with YUS/Yawan leaders	Yawan	3 YUS CO members, 1 ward member or councillors, 2 women ward representatives, 1 pastor, 1 youth representative, 1 village recorder, 1 teacher and VBH	Beneficiaries	Landowners
10 April Wednesday	9:00am-12:00pm	Meeting with YUS/Yawan leaders	Yawan	Leaders meeting continued	Beneficiaries	Landowners
	11:00am-12:00pm	Meeting with Women's Group (VBH)	Yawan	1 female teacher, 2 female farmer, 1 women's church leader, 1 female community leader and 1 village birth attendant	Beneficiaries	Landowners
11 April Thursday	9:00am-12:00pm	Meeting with Rangers	Yawan	5-7 Rangers both male and female	Beneficiaries	Landowners
	1:00pm-4:00pm	Meeting Livelihood farmers	Yawan	5-7 Farmers (male and female)	Beneficiaries	Landowners
12 April Friday	9:00am-12:00pm	Visit to JPR	Yawan Elementary School	JPR teachers and students	Beneficiaries	
	1:00pm-4:00pm	Meeting with Youths	Yawan	Youths, JPR teachers	Beneficiaries	Landowner
	1:00pm-4:00pm	Meeting with Youths	Yawan	Youths, JPR teachers	Beneficiaries	Landowner
16 April Tuesday	10:30am-11:00am	Flight Yawan-Lae on (NCA)				
	2:30pm-4:30pm	Meeting with TKCP Managers	Tree Kangaroo Project Office	Niels Hove - New Program Manager Warren Jano - Strategy Development Manager, Daniel Okena - Research and Conservation Manager, Francisca Yagama - Community Health and Community Development Manager, Karl Aglai – Coffee Operations Specialist	Implementing Partner	INGO/NGO

Midterm Review Report, 2019

R2R Strengthening the Management Effectiveness of the National System of Protected Areas (Papua New Guinea)

UNDP PIMS ID: 5261; GEF Project ID: 5510

Date	Time	Activity	Location	Project Actor	Project Role	Stakeholder
17 April Wednesday	1:10pm-1:35pm	Flight Lae-Pom (Air Niugini)				
30 April Tuesday	8:00am-9:00am	Flight into Pom				
	10:30am-12:00pm	Meeting with UNDP	UNDP Office, Deloitte Tower	Emily Fajardo - UNDP Technical Advisor, GEF 5 Secretariat, Patricia Kila - UNDP Program Manager, Tamalis Akus - UNDP GEF/SGP Coordinator	Multilateral Organisation	Development Partner
	2:30pm-3:30pm	Meeting with CEPA	CEPA Office, Dynasty	Benside Thomas - (Manager Terrestrial Protected Area/Coordinator Varirata National Park, GEF 5 Board member)	National Government	Gov't
01 May Wednesday	8:00am-9:00am	Team Catch-up on notes	Holiday Inn Express			
	10:00am-11:00am	Team catch=up on notes	Holiday Inn Express			
	1:00pm-2:00pm	Meeting with UNDP	Holiday Inn Express	Emily Fajardo – Technical Officer GEF 5	Multilateral Organisation	Development Partner
	2:30pm-3:30pm	Meeting with UNDP Head, Environment, Energy and Climate Change	UNDP Office, Deloitte Tower	Edward Vrkic – Head Environment, Energy and Climate Change	Multilateral Organisation	Development Partner
	4:00pm-4:30pm	Meeting with UNDP Small Grants	UNDP Office, Deloitte Tower	Tamalis Akus - UNDP GEF/SGP Coordinator	Multilateral Organisation	Development Partner
02 May Thursday	10:30am-11:30pm	Meeting with CEPA	CEPA Office, Dynasty Building	Kay Kalim - Director CEPA Sustainable Environment Program	National Government	Gov't
	12:00pm-1:00pm	Drive to Sogeri				
	1:00pm-2:00pm	Meeting with Leaders	Sogeri Lodge	4-5 leaders: 1 community leaders, 1 ward members or councillor, 1 women ward representatives, 1 pastor, 1 youth representative, 1 village recorder and 1 teacher and 1 community health worker or village birth attendant	Beneficiaries	Landowners
	2:30pm-3:00pm	Meeting with Rangers	Sogeri Lodge	4-5 rangers (male/female)	Beneficiaries	Landowners
	3:30pm-4:00pm	Visit Varirata Park	Varirata Park			
	4:00pm-5:00pm	Drive back to City				
03 May Friday	9:30am-10:30am	Drive to Sogeri				
	11:00am-12:00pm	Meeting with Women's Group	Sogeri Lodge	4-5 Youths (male/female)	Beneficiaries	Landowners
	1:30pm-2:30pm	Meeting with Youths	Sogeri Lodge	4-5 female: 1 female teacher, 1 Community health worker, 1 women's church leader, 1 female community leaders. Female ward member or councilor?	Beneficiaries	Landowners
	3:30pm-4:30pm	Drive back to the city				
06 May Monday	8:30am – 10:30am	Meeting with JICA	JICA Office Pom	Ted Mamu – Technical Coordinator	Experts/NGOs	INGO/NGO

Midterm Review Report, 2019

R2R Strengthening the Management Effectiveness of the National System of Protected Areas (Papua New Guinea)

UNDP PIMS ID: 5261; GEF Project ID: 5510

Date	Time	Activity	Location	Project Actor	Project Role	Stakeholder
	1:00pm-2:00pm	Meeting with Partners with Melanesia (PWM)	PWM office Pom	Ken Mondia – Executive Director PWM	Experts/NGOs	INGO/NGO
	2:30pm-3:00pm	Email with CELCOR	CELCOR office Pom	Peter Bosip - Director CELCOR - Centre for Community Rights	Experts/NGOs	INGO/NGO
	3:00pm-5:00pm	Meeting with UNDP PMU	Holiday Inn Express Hotel	Emily Fajardo – Technical Officer and Patricia Kila - Manager	Multilateral Organisation	Development Partner
07 May Tuesday	7:30am - 11:40am	Flight to Vanimo (Air Niugini)				
	1:00pm-2:00pm	Meeting with Provincial Administrator	Vanimo	Eric Sakin – Director National Functions- Provincial Administration Sandaun Province	Sandaun Province	Gov't
08 May Wednesday	10:30am-11:30am	Meeting with Eco Custodian Advocates	Vanimo Beach Hotel	David Mitchell - Eco Custodian Advocate Director, GEF 5 Technical Advisor	Experts/NGOs	INGO/NGO
	3:30pm –4:05pm	Flight to Lumi (MAF)				
	3:30 pm – 4:30pm	Introductions to Community	Lumi	Community	Beneficiaries	Landowners
	6:00pm-7:00pm	Meeting with Jim Thomas	Lumi	Jim Thomas Director TCA	Implementing Partner	INGO
	8:00pm-9:30pm	Meeting with Leaders	Lumi	3 TCA community members, 2 ward members or councilors, 2 women leader representatives, 1 pastor, 1 youth representative, 2 village recorders and 1 teacher and Community Health Worker (CHW)/Village Birth Attendants	Beneficiaries	Landowners
	10:00pm-12:00pm	Meeting with Rangers	Lumi	16-17 Rangers	Beneficiaries	Landowners
09 May Thursday	9:00am-11:00am	Meeting with TCA Mothers Group		1 female teacher, 2 female livelihood program participants, 1 women's church leader, 1 female community leader, 1 female village birth attendant or CHW	Beneficiaries	Landowners
	1:00pm-3:00pm	Meeting with TCA livelihood participants	Lumi	5-7 Farmers (male and female) participating in the livelihood program	Beneficiaries	Landowners
	4:00pm-5:00pm	Meeting with TCA Youths	Lumi	5-7 Youths (male female)	Beneficiaries	Landowners
10 May Friday	8:30am-9:30am	Meeting with Mathew Akon	Lumi	Mathew Akon is a senior public relations officer	Beneficiary	Landowner
	10:00am-11:00am	Meeting with TCA Program Managers	Lumi	TCA Program Officers	Implementing Partner	INGO/NGO
	12:30pm	Drive to airstrip, fly-out	Lumi	Fly-to Wewak		
11 May Saturday	11:35am-12:25pm	Flight Wewak-POM				
13 May Monday	8:00am-9:00am	Skype with FORCERT	Skype	Peter Dam – Technical; Advisor	Expert	NGOs/INGOs
	2:00pm-3:00pm	Skype with Capacity Development Advisor	Skype	Fiona Leverington (Consultant) capacity building protected areas	Experts	Private
	3:30pm-4:30pm	Meeting with James Sabi	Pom	James Sabi – Kokoda Initiative – Terrestrial Manager	National Government	Gov't

Midterm Review Report, 2019

R2R Strengthening the Management Effectiveness of the National System of Protected Areas (Papua New Guinea)

UNDP PIMS ID: 5261; GEF Project ID: 5510

Date	Time	Activity	Location	Project Actor	Project Role	Stakeholder
14 May Tuesday	7:30am-8:30am	Skype Mr Koji Asano, JICA	Skype	Koji Asano - JICA Chief Technical Officer	Donor	Development Agency
	9:00am-10:00am	Meeting with DNPM Vulupindi Haus	Reichert Thanda – Acting Deputy Secretary-Programming & Monitoring Wing	National Government	Gov't	
	10:15am-12:00am	Skype with Lisa Dabek	Skyper	Dr Dabek-TKCP Director	Implementing Partner	NGOs/INGOs
	1:00pm-2:00pm	Skype with Guy Dutson	Skype	Guy Dutson, Biodiversity offsets policy	Experts	
15 May Wednesday	8:00am-9:00am	Meeting Alluvium	Skype	Misko Ivezich – Alluvium Consultants	Experts	Private
	10:30pm-11:00pm	Meeting MD, CEPA	Pom	Mr Gunther Joku – Managing Director CEPA	National Government	Gov't
	2:00pm-3:00pm	UNDP PMU	Town, Kina Haus Dekenai	Emily Fajardo, Patricia Kila - UNDP	Multilateral Organisation	Development Partner
	3:30pm-4:30pm	Meeting with Kokoda Track Initiative	Dynasty Building, Level 5	Meeting Project Advisor-Mark Nizette	Experts	Program
16 May Thursday	9:00am-12:00am	Presentation of Initial Findings to GEF 5 Board	Ela Beach Hotel	GEF 5 Board, GEF 5 Secretariat, CEPA representatives, UNDP representatives, NGOs	National Government, Implementing partners, Multilateral Organisation	Implementing partners

Annex 2: List of Persons Interviewed

Name	Position	Organization	Gender
Gunther Joku	Managing Director	Conservation and Environmental Protection Authority (CEPA)	Male
Reichert Thanda	A/Deputy Secretary, Programming & Monitoring Wing	Department of National Planning and Monitoring	Male
Kay Kalim	Director, Sustainable Environment Program	CEPA	Female
James Sabi	Manager, Terrestrial Kokoda Initiative	CEPA	Male
Benside Thomas	Manager Terrestrial Protected Areas, Coordinator Varirata National Park	CEPA	Male
Robin Kiki	Advisor/Coordinator Environment and Climate Change	Morobe Provincial Administration	Male
Eric Sakin	Director, National Functions	Sandaun Provincial Administration	Male
Edward Vrkic	Senior Advisor – Climate Change	United Nations Development Programme (UNDP)	Male
Tashi Dorji	Regional Technical Specialist, Ecosystems and Biodiversity	UNDP – Global Environmental Finance, Bureau for Policy and Programme Support, Bangkok Regional Hub	Male
Emily Fajarda	Technical Coordinator	UNDP, Project Management Unit (PMU)	Female
Patricia Kila	Project Manager GEF-5	UNDP, PMU	Female
Jim Thomas	Director	Tenkile Conservation Alliance	Male
Jean Thomas	Chief Operating Officer, Capacity Building Officer, Finance Officer	Tenkile Conservation Alliance	Female
Lisa Dabek	Director and Senior Conservation Scientist	Woodland Park Zoo/Tree Kangaroo Conservation Program	Female
Niels Hove	Program Manager	Tree Kangaroo Conservation Program	Male
Momenat Al-Khateeb	Monitoring & Evaluation Officer, PMU	UNDP, PMU	Female
Gwen Maru	Programme Assistant	UNPD	Female
Tamalis Akus	UNDP GEF/SGP Coordinator	UNDP, Small Grants Programme	Female
Maureen Ewai	Coordinator GEF-4 project, East New Britain	UNDP	Female
David Mitchell	Director, former Chief Technical Advisor of project	Eco-Custodian Advocates	Male
Mark Nizette	Project advisor, Sustainable Environment Program - Terrestrial	Kokoda Initiative	Male
Koji Asano	Chief Technical Officer	Japan International Cooperation Agency	Male
Ted Mamu	Technical Coordinator	Japan International Cooperation Agency	Male
Taitus Tsigese	Environment Officer	PNG Power	Male
Fiona Leverington	Consultant - Capacity Building CEPA	Protected Areas Solutions Pty Ltd	Female
Guy Dutson	Consultant, biodiversity offsets	The Biodiversity Consultancy	Male
Misko Ivezich	Consultant, Sirinumu Dam survey	Alluvium Consultants	Male
Lyndel Melrose	Consultant	Deloitte	Female
Ken Mondiai	Executive Director, PWM	Partners with Melanesia	Male
Peter Bosip	Director, CELCOR	Centre for Community Rights	Male
Peter Dam	Technical Advisor and National Program Coordinator	FORCERT – <i>forest for life</i>	Male
YUS Field Mission:			
Daniel Okena	Research and Conservation Manager	Tree Kangaroo Conservation Program	Male
Warren Jano	Strategy Development Manager	Tree Kangaroo Conservation Program	Male
Francisca Yagama	Community Health and Development Manager	Tree Kangaroo Conservation Program	Female

Midterm Review Report, 2019

R2R Strengthening the Management Effectiveness of the National System of Protected Areas (Papua New Guinea)

UNDP PIMS ID: 5261; GEF Project ID: 5510

Name	Position	Organization	Gender
Karl Aglai	Coffee Operations Specialist	Tree Kangaroo Conservation Program	Male
Dono Ogate	Community-Based Organisation Coordinator	Tree Kangaroo Conservation Program	Male
Timmy Sowang	Lead Conservation Officer	Tree Kangaroo Conservation Program	Male
Namo Yaoro	Conservation Officer and village councillor, Teptep village	Tree Kangaroo Conservation Program	Male
Chris Max	Conservation officer	Tree Kangaroo Conservation Program	Male
Bill Lodi	Community Leader	Gorok village, YUS	Male
Motima Dono	Teacher	Toweth village, YUS	Male
Dickson Eki	Coffee Inspector	Toweth village, YUS	Male
Justin Bansup	Community Leader	Toweth village, YUS	Male
Wrefords Sorong	Elementary Teacher	Mitmit village, YUS	Male
Mara Kula	Religious Teacher	Worin village, YUS	Male
Geno Yuo	Ranger	Worin village, YUS	Male
Paul Kuwing	Pastor	Worin village, YUS	Male
Jacob Girip	Community Decon	Toweth village, YUS	Male
Jim Nasing	Committee member for L&O	Gorok village, YUS	Male
Munap Boniepe	Committee member for L&O	Gorok village, YUS	Male
Tugu Isso	Kindergarten Teacher	Gorok village, YUS	Male
Jimmy Hesie	Community Leader	Toweth village, YUS	Male
Gibson Hesie	Binatang Field Worker	Toweth village, YUS and Binatang Research Institute	Male
Monica Yowo	Volunteer Birth Attendant	Worin village, YUS	Female
Tabita James	Volunteer Birth Attendant	Toweth village, YUS	Female
Joyce Pekisson	Volunteer Birth Attendant	Toweth village, YUS	Female
Issung Wariangon	Volunteer Birth Attendant	Worin village, YUS	Female
Stanley Girip	Community Elder	Toweth village, YUS	Male
Carol Yome	Kindergarten Teacher - Youth	Sugan village, YUS	Female
Kisilar Findu	Volunteer Birth Attendant	Saburong village, YUS	Female
Ruth Singnuc	Volunteer Birth Attendant	Saburong village, YUS	Female
Weda Honeringke	Volunteer Birth Attendant	Saburong village, YUS	Female
Tabitha Besese	YUS Conservation Organisations Women's Representative	Saburong village, YUS	Female
Jenilla Jethro	Junior Ranger Program Teacher	Toweth village, YUS	Female
Marah Stanley	Junior Ranger Program Teacher	Worin village, YUS	Female
Namush Urung	Junior Ranger Program Teacher	Toweth village, YUS	Female
Yunish Limson	Junior Ranger Program Teacher	Toweth village, YUS	Female
Nancy Nukup	Volunteer Birth Attendant	Gorok village, YUS	Female
Sawang Sorong	Volunteer Birth Attendant	Koteth village, YUS	Female
Diningi Kuso	Volunteer Birth Attendant	Toweth village, YUS	Female
Robson Soseng	Ranger	Gomdan village, YUS	Male

Midterm Review Report, 2019

R2R Strengthening the Management Effectiveness of the National System of Protected Areas (Papua New Guinea)

UNDP PIMS ID: 5261; GEF Project ID: 5510

Name	Position	Organization	Gender
Tommy Narete	Ranger	Sugan village, YUS	Male
Aramany Amos	Ranger	Bonea village, YUS	Male
Moses Nasing	Ranger	Yawan village, YUS	Male
Kemo Robert	Ranger	Bembe village, YUS	Male
James Jio	Mapping officer	Towet village, YUS	Male
Obtus James	Ranger	Towet village, YUS	Male
Timsaul Girip	Junior Ranger Program Teacher	Toweth village, YUS	Male
Saba Stanly	Junior Ranger Program Teacher	Worin village, YUS	Male
Ikes Kuiwing	Elder	Worin village, YUS	Male
Yadua Gemo	Coffee Inspector	Gomdan village, YUS	Male
Samson Donning	Board Chairman School	Mup village, YUS	Male
Soi Pekson	Volunteer Birth Attendant	Toweth village, YUS	Female
Raok Jio	Farmer	Toweth village, YUS	Female
Riringi Okate	Farmer	Toweth village, YUS	Female
Yaung Wrefords	Farmer	Yawan station, YUS	Female
Annie Dono Ogate	Elementary School teacher/Farmer	Yawan station, YUS	Female
Ara Amos	Ranger	Boneg village, YUS	Male
Namush Urung	Church Clerk	Toweth village, YUS	Male
Irising Ogase	Farmer	Toweth village, YUS	Female
Retsol Yumbi	Kinda Carten Teacher - Youth	Munku village, YUS	Female
Victor Eki	Conservation Officer	Tree Kangaroo Conservation Program	Male
Zinitha Namas	Student, Youth	Yawan Primary School, Toweth village, YUS	Female
Emely Bansup	Student, Youth	Yawan Primary School, Toweth village, YUS	Female
Lumelyn	Student, Youth	Yawan Primary School, Koteth village, YUS	Female
Grenigh	Student, Youth	Yawan Primary School, Toweth village, YUS	Female
Matilda	Student, Youth	Yawan Primary School, Toweth village, YUS	Female
Asi Driving	Student, Youth	Yawan Primary School, Toweth village, YUS	Male
Elaiza Meas	Student, Youth	Yawan Primary School, Toweth village, YUS	Male
Gabriel Bansup	Student, Youth	Yawan Primary School, Toweth village, YUS	Male
Fransis Zangol	Student, Youth	Yawan Primary School, Toweth village, YUS	Male
Limsen Gesok	Student, Youth	Yawan Primary School, Toweth village, YUS	Male
Gimson Tus	Student, Youth	Yawan Primary School, Toweth village, YUS	Male
Ningi Hendry	Student, Youth	Yawan Primary School, Koteth village, YUS	Male
Torricelli Field Mission:			
Matthew Akon	Public Relations Manager	Tenkile Conservation Alliance	Male
Nelson Taingol	Project Officer	Tenkile Conservation Alliance	Male
Kelep Bulu	Project Officer	Tenkile Conservation Alliance	Male

Midterm Review Report, 2019

R2R Strengthening the Management Effectiveness of the National System of Protected Areas (Papua New Guinea)

UNDP PIMS ID: 5261; GEF Project ID: 5510

Name	Position	Organization	Gender
Patrick Ikon	Project Supervisor	Tenkile Conservation Alliance	Male
Austine Olike	Ward Member, Conservation officer TCA	Wabute village, Torricelli	Male
Benardette Sikitkia	Women's Representative	Maiwetem village, Torricelli	Female
Michael Warike	Land Mediator	Minate village, Torricelli	Male
Titus Muplum	Pastor - CPC	Souleite village, Torricelli	Male
John Bosco Sai	Teacher	Wabute village, Torricelli	Male
Alice Wima	Community Health Worker	Waunulu village, Torricelli	Female
Tom Kuma	Chairman Wash Committee	Maiwetam village, Torricelli	Male
Pascal Mansom	Ward Development Committee	Waieli village, Torricelli	Male
Sebby Baiwe	Conservation Officer	Wabute village, Torricelli	Male
Pius Melik	Conservation Officer	Tolegete village, Torricelli	Male
Florian Maus	Conservation Officer	Wigote 2 village, Torricelli	Male
Patrick Konok	Conservation Officer	Wigote 1 village, Torricelli	Male
Bong Soupe	Conservation Officer	Mauwetem village, Torricelli	Male
Francis Yuope	Conservation Officer	Apseium village, Torricelli	Male
Emildon Kufa	Ranger	Maiwetem village, Torricelli	Male
Alois Aulei	Ranger	Lilal village, Torricelli	Male
Cyprian Reimau	Conservation Officer	Sarboutte village, Torricelli	Male
Thadius Puakili	Conservation Officer	Mupun village, Torricelli	Male
Lemus Neiyene	Conservation Officer	Yomgite village, Torricelli	Male
Nelson	Conservation Officer	Sumil village, Torricelli	Male
Samuel Neldin	Conservation Officer	Barkop village, Torricelli	Male
Moxen Waisien	Conservation Officer	Wara Kompa village, Torricelli	Male
Bensen Wakuli	Conservation Officer	Weigint village, Torricelli	Male
Ignas Werye	Elementary teacher	Sarpoute village, Torricelli	Male
Raig Tumbo	Magistrate	Wilbate village, Torricelli	Male
Raig Wiri	Tenkile Conservation Alliance representative	Waneli village, Torricelli	Male
Ancy Etai	Church KST representative	Miwaute village, Torricelli	Female
Dilores Aifol	Subsistence Farmer	Wigote village, Torricelli	Female
Vincent Kelele	Rabbit Farmer/Trainer	Wigote village, Torricelli	Male
Keven Wita	Tenkile Conservation Alliance representative	Wigote village, Torricelli	Male
Paula Faru	Women's President	Weigim village, Torricelli	Female
Alison Kufa	Project Officer, TCA	Maiwetem village, Torricelli	Female
Matiltha Yauwei	Project Officer, TCA	Wuguble village, Torricelli	Female
Ireen Sopim	Project Officer, TCA	Yommu village, Torricelli	Female
Melin Plimin	Project Officer, TCA	Winpi village, Torricelli	Female
Esta Waliou	Project Officer, TCA	Muku village, Torricelli	Female

Midterm Review Report, 2019

R2R Strengthening the Management Effectiveness of the National System of Protected Areas (Papua New Guinea)

UNDP PIMS ID: 5261; GEF Project ID: 5510

Name	Position	Organization	Gender
Collen Olikei	Youth Chairman	Wabute village, Torricelli	Male
Primus Wilai	Board Chairman	Wigote village, Torricelli	Male
Elias Weibi	Ward Development Committee	Apseim village, Torricelli	Male
Nobert Moulei	Leader	Yongite village, Torricelli	Male
Rosella Aifol	Community Representative	Wigote village, Torricelli	Female
Group interviews at Sogeri:			
Omoro Asi	Chairman – Kae Association	Karakadabu clan, Depo village Sogeri	Male
Karen Asi	Women’s Representative	Karakadabu clan, Depo village, Sogeri	Female
Rev John Aramo	Circuit Minister – United Church	Karakadabu clan, Depo village Sogeri	Male
Raymond Tuai	Youth Representative	Karakadabu clan, Depo village Sogeri	Male
Erue Uwea	Teacher Depo Elementary School	Karakadabu clan, Depo village Sogeri	Male
Heisi Mariori	Subsistence farmer	Karakadabu clan, Depo village Sogeri	Female
Moale Uwea	Subsistence farmer	Karakadabu clan, Depo village Sogeri	Female
Mabi Ivai	Women’s Council President representative	Karakadabu clan, Depo village Sogeri	Female
Rawali Uwea	Church Representative	Karakadabu clan, Depo village Sogeri	Female
Steven Womara	Mao Youth – Vice Chair	Manirinumu village, Sogeri	Male
Lillian Maeana	Mao Youth member	Manirinumu village, Sogeri	Female
Pala Omoro	Depo Youth member	Karakadabu clan, Depo village, Sogeri	Female

Annex 3: Photographs from the MTR field mission



9 April 2019. YUS CA, airstrip-Yawan.



9 April 2019. YUS CA, arrival welcome.



9 April 2019. YUS CA, introductions by CBO coordinator.



9 April 2019. YUS CA, MTR interview with local leaders.



14 April 2019. YUS CA, youth with coffee.



12 April 2019. YUS CA, school fees supported by YUS coffee.



12 April 2019. YUS CA, coffee beans drying under cover.



11 April 2019. YUS CA, guesthouse, Yawan Station.



10 April 2019. YUS CA, elementary schoolers.



11 April 2019. YUS CA, junior ranger outdoor training.



02 May 2019. Varirata NP, signboard.



02 May 2019. Varirata NP, view from lookout.



03 May 2019. Sogeri Plateau, interview with Kae Association.



03 May 2019. Sogeri Plateau, interview with women's group.



8 May 2019. TCA base in Lumi, view from airplane.



8 May 2019. TCA base, arrival of MTR team.



9 May 2019. TCA base, fishpond prototype.



9 May 2019. TCA base, eaglewood seedlings.



8 May 2019. TCA base, livelihoods interviews.



9 May 2019. TCA base, interviews with rangers.



9 May 2019. TCA base, captive breeding enclosure.



9 May 2019. TCA base, Weimang tree kangaroo in captivity.



9 May 2019. TCA base, research station.



9 May 2019. TCA base, guesthouse.



9 May 2019. TCA base, rainwater harvesting tank (EU funds).



14 April 2019. YUS CA. TKCP field-office, Yawan Station.



14 April 2019. YUS CA – young girl picking ripe coffee beans.



11 April 2019. YUS CA – Ranger interviews.



12 April 2019. YUS CA. Children fetch water and carry food.



15 April 2019. YUS CA coffee bags to be freighted by air.

Annex 4: List of Documents Reviewed

Project documentation

1. Project Identification Form (PIF)
2. Project Document
3. GEF CEO Endorsement Request
4. GEF Review Sheet
5. STAP Review Sheet
6. UNDP Environmental and Social Screening results
7. Project inception report (draft)
8. Annual work plans for each year of implementation
9. Annual financial project reports (combined delivery reports - CDR), broken down by components and project management (2016, 2017, 2018 and 2019 (through 28 March))
10. Financial audit reports and spot checks
11. Cofinancing information (MTR team provided spreadsheet)
12. Project Implementation Review (PIR) reports (2017, 2018)
13. Finalized GEF focal area Tracking Tools at CEO endorsement and midterm
14. Self-assessment towards project results (MTR team provided template)
15. Terms of reference for technical assistance consultancies
16. Consultancy products
17. Project Steering Committee meeting minutes

UNDP documents

18. UNDP Country Programme Document (CPD) 2012-2015
19. UNDP Strategic Plan, 2014-2017
20. UNDP guidance for conducting Midterm Reviews of UNDP-supported, GEF-financed projects
21. Social and Environmental Safeguard Standards, 2014

GEF documents

22. GEF focal area strategic Programme Objectives, GEF-5
23. GEF Gender Equality Policy and Guidance, 2018
24. GEF Cofinancing Guidelines, 2018

Other documents

25. National Biodiversity Strategy and Action Plan
26. National Reports to the Convention on Biological Diversity
27. Papua New Guinea: Human Development Indices and Indicators: 2018 Statistical Update

Annex 5: Evaluation Matrix

Evaluation theme	Questions	Sources	Methodology
Project Strategy			
Project Design:	To what extent is the project suited to local and national development priorities and policies?	National development strategies, sector plans, medium term development plan, project document	Desk review, interviews
Project Design:	To what extent is the project in line with GEF operational programs?	GEF focal area strategies, project design, PIR reports	Desk review, interviews
Project Design:	To what extent are the objectives and design of the project supporting environment and development priorities?	UNPDF, UNDP CPD, multilateral environmental agreements, etc.	Desk review, interviews
Project Design:	Does the project design remain relevant in generating global environmental benefits?	GEF strategies, national and subnational development plans, PIF, project document, CEO endorsement request, reviews, PIRs	Desk review, interviews
Results Framework:	Does the results framework fulfil SMART criteria and sufficiently captures the added value of the project?	Strategic results framework, tracking tools, inception report, PIRs	Desk review, interviews
Results Frameworks:	What changes could be made (if any) to the design of the project in order to improve the achievement of the project's expected results?	SMART analysis of results framework, current national and local development strategies	Desk review, interviews
Mainstreaming:	How are broader development objectives are represented in the project design?	Project document, social and environmental social screening procedure, gender action plan, work plans for community activities, training records, monitoring reports of community activities, project steering committee meeting minutes, stakeholder feedback during MTR mission	Desk review, interviews, field visits
Progress towards Results			
Progress towards Outcomes Analysis:	Has the project been effective in achieving the expected outcomes and objective?	PIRs, self-assessment reports by PMU, annual reports, monitoring reports, output level deliverables, midterm tracking tool, stakeholder feedback during MTR mission	Desk review, interviews, field visits
Progress towards results:	To what extent has the project increased institutional capacity?	Progress reports, national and local development strategies, etc.	Desk review, interviews, field visits.
Progress towards results:	How has the project been able to influence monitoring and evaluation associated with PA management?	Progress reports, national and local development strategies, budget allocations, increased level of awareness	Desk review, interviews, field visits
Risk management:	What were the risks involved and to what extent were they managed?	Project document, risk log, progress reports	Desk review, interviews, field visits
Lessons learned:	What lessons have been learned from the project regarding achievement of outcomes?	Progress reports, lessons learned reports, back-to-office reports	Desk review, interviews
Remaining Barriers to Achieving the Project Objective:	How are the project outputs addressing key barriers?	PIRs, annual reports, project steering committee meeting minutes, stakeholder feedback during MTR mission	Desk review, interviews, field visits
Project Implementation & Adaptive Management			
Management Arrangements, GEF Partner Agency:	How were lessons learned on other projects incorporated into project implementation?	PIRs, project steering committee meeting minutes, audit reports, feedback obtained during MTR mission	Desk review, interviews

Evaluation theme	Questions	Sources	Methodology
Management Arrangements, Executing Agency / Implementing Partner:	How effective has adaptive management been, e.g., in response to recommendations raised by project steering committee?	PIRs, project steering committee meetings, feedback obtained during MTR mission	Desk reviews, interviews
Work Planning:	Are milestones within annual work plans consistent with indicators in strategic results framework.	Project document, multi-year work plan, annual work plans, PIRs, financial expenditure reports, feedback obtained during MTR mission	Desk review, interviews
Finance and Cofinance:	How efficient has financial delivery been?	Financial expenditure reports, combined delivery reports, audit reports, project steering committee meeting minutes, PIRs, midterm cofinancing report, feedback obtained during MTR mission	Desk review, interviews
Cost-effectiveness:	How cost-effective have the project interventions been?	Analysis of progress towards results, financial delivery	Desk review, interviews, field visits
Project-level Monitoring and Evaluation Systems:	How timely has implementation of adaptive management measures been?	PIRs, midterm tracking tools, monitoring reports, annual progress reports, self-assessment reports by PMU, project steering committee meeting minutes, feedback obtained during MTR mission	Desk review, interviews, field visits
Stakeholder Engagement:	How inclusive and proactive has stakeholder involvement been?	Stakeholder involvement plan in the project document, meeting minutes, records of exchange visits, stakeholder feedback obtained during MTR mission	Desk review, interviews, field visits
Partnership Arrangements:	How effective have partnership arrangements been?	Partnership agreements, contracts, progress reports, cofinancing realized	Desk review, interviews, field visits
Local Capacity Utilized:	Has the project efficiently utilized local capacity in implementation?	Contracts, financial expenditure records, progress reports	Desk review, interviews, field visits
Reporting:	Adaptive management measures implemented in response to recommendations recorded in PIRs.	PIRs, annual progress reports, midterm tracking tools, output level project deliverables, feedback obtained during MTR mission	Desk review, interviews
Communication:	Project information is effectively managed and disseminated.	Internet and social media, press releases, media reports, statistics on awareness campaigns, evidence of changes in behavior, feedback obtained during MTR mission	Desk review, interviews, field visits
Sustainability			
Risk Management:	How timely has delivery of project outputs been?	Project document, risk logs, PIRs, project steering committee meeting minutes, feedback during MTR mission	Desk review, interviews
Lessons Learned:	What lessons can be drawn regarding sustainability of project results, and what changes could be made (if any) to the design of the project in order to improve sustainability of project results?	Progress reports, monitoring and evaluation reports, feedback from stakeholders, current national and local development strategies and sector plans	Desk review, interviews, field visits
Financial Risks to Sustainability:	How has the project addressed financial and economic sustainability? Are recurrent costs sustainable after project closure? What evidence is available that demonstrates budget allocations have been or will be made to sustain project results?	Budget allocations, progress reports, government publications	Desk review, interviews, field visits

Evaluation theme	Questions	Sources	Methodology
Socioeconomic Risks to Sustainability:	What incentives are in place or under development to sustain socioeconomic benefits? What evidence is available that demonstrates capacities and resilience of local communities have been strengthened?	Project outputs realized, progress reports	Desk review, interviews, field visits
Institutional Framework and Governance Risks to Sustainability:	What is the level of ownership of approaches promoted by the project? What policies are in place that enhance the likelihood that project results will be sustained?	Tracking tool, training records, evidence of policy reform, governance platform records	Desk review, interviews, field visits
Environmental Risks to Sustainability:	What evidence is available that demonstrate reduction of key threats? Have any new threats emerged?	Tracking tool, budget allocations, training record, statistics on awareness campaigns	Desk review, interviews, field visits
Progress towards Impact			
Environmental stress reduction	What evidence is available that demonstrates progress towards environmental stress reduction?	Delivered outputs, progress reports, feedback from stakeholders, monitoring and evaluation reports	Desk review, interviews, field visits
Environmental status change	What evidence is available that demonstrates progress towards environmental status change?	Delivered outputs, progress reports, feedback from stakeholders, monitoring and evaluation reports	Desk review, interviews, field visits
Community well-being	What evidence is available that demonstrates progress towards improving community well-being?	Delivered outputs, progress reports, feedback from stakeholders, monitoring and evaluation reports	Desk review, interviews, field visits
Policies	What evidence is available that demonstrates progress towards changes in policies?	Delivered outputs, progress reports, feedback from stakeholders, monitoring and evaluation reports	Desk review, interviews, field visits
Governance mechanisms	What evidence is available that demonstrates progress towards changes in governance mechanisms?	Delivered outputs, progress reports, feedback from stakeholders, monitoring and evaluation reports	Desk review, interviews, field visits
Capacities	What evidence is available that demonstrates progress towards changes in capacities?	Delivered outputs, progress reports, feedback from stakeholders, monitoring and evaluation reports	Desk review, interviews, field visits
Unintended consequences	What unintended consequences have occurred?	Delivered outputs, progress reports, feedback from stakeholders, monitoring and evaluation reports	Desk review, interviews, field visits

Annex 6: Progress towards Results

Assessment Key:	Achievement Rating Scale:
Achieved	Ratings assigned using the following 6-point scale: highly satisfactory, satisfactory, moderately satisfactory, unsatisfactory, highly unsatisfactory
On target to be achieved	
Not on target to be achieved	
Unable to assess	

Indicator	Baseline	End of Project target	Self-assessment by PMU, Mar 2019	Midterm status	MTR assessment
Objective: To strengthen national and local capacities to effectively manage the national system of protected areas, and address threats to biodiversity and ecosystem functions in these areas					
A. Aggregated Average Capacity Development indicator score for CEPA, Madang, Morobe, West Sepik and East Sepik Provincial Government, TCA and TKCP	35.3%	62.3%	Capacity Assessment average aggregate score 48% (CEPA at 47%, East Sepik at 33%, West Sepik at 34%, Morobe at 45%; and YUS 81%) as of 2017. Updated score for CEPA at 58.3% as of 17 April 2019 There was a drone training in April 2018. The training undertaken included an introduction to drone flying and operations in theory and hands on; drone mapping (theory and indoor hands on); and practical training on drone flying, operations and mapping. A follow-up refresher and drone mapping training is envisaged for May 2019. For May the proposed outcomes are as follows: <ul style="list-style-type: none"> • Maps produced from collected data and the ability to interpret the information from the maps; • Ability to apply the skills of operating drones on the field to collect data to assist field work; • Skills acquisition to monitor the forest changes within the protected areas in respective provinces (provincial counterparts are included in training); and • Useful drone skills acquired for planning, monitoring and value adding to the work of CEPA and provincial counterparts that will complement work on protected areas in the provinces. 	MTR team considers the aggregated average score is not a relevant measure, as the scorecard does not provide a relevant measure of the capacities of provincial agencies and NGOs. And, self-assessment approach diminishes reliability.	Unable to assess
B. Total area expansion of the National Protected Area in the Varirata-Sogeri Plateau, YUS and Torricelli Mountains Landscapes	0 ha	255,000 ha	262,063 ha total aggregate for 3 pilot sites excluding potential to expand area of PAs by EOP. Varirata National Park remains at 1,063 ha.	0 ha Applications for gazettal of TMR CA (185,000 ha) and YUS CA expansion (75,000 ha) have been submitted to CEPA. Gazettal expected by project closure.	On target
C. Conducive policy environment for CEPA to operate within	No policy regulating development impacts on biodiversity	An enabling policy that established an effective national system to license	Protected Area Policy endorsed by the National Executive Council (NEC) in December 2014, with assistance from GEF-4 (PIMS 3936) project. GEF5 project has not yet started then.	Draft biodiversity offsets policy under development at the time of the MTR mission.	On target

Midterm Review Report, 2019

R2R Strengthening the Management Effectiveness of the National System of Protected Areas (Papua New Guinea)

UNDP PIMS ID: 5261; GEF Project ID: 5510

Indicator	Baseline	End of Project target	Self-assessment by PMU, Mar 2019	Midterm status	MTR assessment
	<p>No clear direction on how funds and revenues will be earmarked within the overall CEPA financial structure</p>	<p>and regulate development impacts on biodiversity An administrative regulation or similar issuance describing the process by which funds and revenues for PA management will be earmarked within the overall CEPA financial structure</p>	<p>Supportive of NEC directive on PA Policy (NEC Decision 385/2014), the project assisted CEPA to develop PA Policy Implementation Plan (PAPIP) to guide the overall direction of conservation work in the country (2018-2022). CEPA led the process of an extensive stakeholder consultations in four regions to formulate the PAPIP. The Project also supported CEPA with drafting Capital Investment Program (CIP) Submission to the Department of National Planning in late 2017 for the 2019 National Budget and this was realized in 2018. In responses to CEPA’s need for technical support to formulate a PNG National Biodiversity Offsets Policy, the project through The Biodiversity Consultancy (TBC) is helping CEPA to draft the PNG National Biodiversity No Net Loss Policy Framework. After consultations with CEPA in early 2018, the TBC presented a draft policy framework, that provided options for CEPA to determine to formulate a more practical policy. TBC also undertook a training needs analysis of CEPA staff capability to guide a series of trainings. Trainings completed: in-depth orientation on No Net Loss policy elements (consideration of biodiversity in development activities) and linking with EIA process; and introducing the calculator to assist with permit fees. Biodiversity offsetting is the hallmark of the Environment Amended Act (2014), where CEPA currently draws cost recovery from permits and licensing fees from development activities. As part of dialogue consultations with Industry, CEPA invited several companies (namely, Barrick Niugini Ltd, NBPOL, RH Group of Companies, Wafi-Golpu PNG Ltd, Esso PNG Ltd, Oil Search PNG Ltd, Simberi Gold Company Ltd, Woodlark Mining Ltd, Nautilus Minerals Ltd, PAN Aust Ltd & Total E & P PNG Ltd), to assist with pilot case studies in order to continue consultations on the policy framework towards a practical outcome, envisaged at the end of 2019. CEPA has received signed MoUs from industry (refer to attached NBPOL MoU). CEPA further raised the profile of this policy framework at the 2018 PNG Mining Conference, when the Minister for Environment announced the initiative. TBC is currently seeking further clarifications from CEPA on core principles for biodiversity offsets prior to dialogue with the PNG Chamber of Mines newly formed Environment sub-committee in March 2019.</p>	<p>The TOR of the consultancy under contract for development of the biodiversity offsets policy has been amended to include formulation of drafting instructions for a regulation for operationalizing the biodiversity offsets policy. Unlikely to achieve issuance of regulation or similar issuance by project closure in Nov 2020.</p>	<p>Not on target</p>

Midterm Review Report, 2019

R2R Strengthening the Management Effectiveness of the National System of Protected Areas (Papua New Guinea)

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D. Number of villages directly benefitting from community-based livelihood activity that contribute to the reducing the extent and intensity of threats to the YUS and Torricelli CAs	0	>60	50 villages for Torricelli currently benefit from livelihood activities such as rabbit farming, rice farming & milling, fish, vanilla and eaglewood harvesting activities. 50 villages are part of the YUS Conservation Area and 600+ families from more than 26 villages, benefit from coffee farming activities. WPZ facilitates for overseas coffee markets.	Baseline figure is incorrect; there were community-based livelihood activities in 2014 at the two PA's. 100 villages are included within the two conservation landscapes: YUS CA (50 villages) and TMR CA (50 villages).	On target
E. IRRF Sub-indicator 1.1.3.A.1.1: Extent to which institutional frameworks are in place for conservation, sustainable use, and/or access and benefit sharing of natural resources, biodiversity and ecosystems	Not defined. MTR suggestion: <i>Baseline figure is incorrect; there were community-based livelihood activities in 2014 at the two PA's. 100 villages are included within the two conservation landscapes: YUS CA (50 villages) and TMR CA (50 villages).</i>	Not defined. MTR suggestion: <i>Community conservation areas are mainstreamed in PNG through an enabling institutional framework, supported by CEPA, LLGs and regional roundtables.</i>	Draft PA regulation was completed in April 2018 based from regional stakeholder consultations from June-Dec 2017. The PA Solutions facilitated a discussion on the regulations with other CEPA Partners in March 2019, that resulted in the need to improve the Bill and regulations. A memo brief was drafted and submitted to the Office of the CEPA SEP Director.	YUS CA and proposed TMR CA are essentially demonstrating CCA modalities. Regional roundtables have been initiated on a trial basis. Proposed PA bill not yet approved. Local level governments lack capacities and funding. CEPA restructuring stalled.	Not on target
Component 1: Management capabilities of the PNG state to support and oversee Protected Area Management					
1.1. Capacity of CEPA	Development indicator score for CEPA: 38%	Development indicator score for CEPA: 72%	58.3% There was a drone training in April 2018. The training undertaken included an introduction to drone flying and operations in theory and hands on; drone mapping (theory and indoor hands on); and practical training on drone flying, operations and mapping. A follow-up refresher and drone mapping training is envisaged for May 2019. For May the proposed outcomes are as follows: <ul style="list-style-type: none"> • Maps produced from collected data and the ability to interpret the information from the maps; • Ability to apply the skills of operating drones on the field to collect data to assist field work; • Skills acquisition to monitor the forest changes within the protected areas in respective provinces (provincial counterparts are included in training); and • Useful drone skills acquired for planning, monitoring and value adding to the work of CEPA and provincial counterparts that will complement work on protected areas in the provinces. 	58.3% (Mar 2019) Results of midterm capacity development scorecard indicate progress towards the end target of 72%. Some inconsistencies are apparent in the scorecard assessments; should be further quality reviewed. Plans for restructuring CEPA have been stalled and there has been limited involvement of CEPA staff on the project.	Marginally on target
	New PA Policy	PNG PA Policy in place and implemented through a formulated Strategic Plan	The PA Policy Implementation Plan (PAPIP), developed through 8-month consultation process, is the sectoral plan of CEPA on Protected Area to enable the systematic roll out of the PA Policy. Priority actions are focused in provinces where the GEF projects also operates to complement ongoing ODA projects such as JICA (Central province) and the Kokoda Initiative (Central province). This is intended to secure government co-financing to implement the PA Policy in 2018-2022. PAPIP is ready for submission to the Central Agencies Coordinating Committee (CACC) then to the National Executive Council when the new elected government	PA Policy Implementation Plan (PAPIP) developed with support from the GEF-4 and GEF-5 projects. The PAPIP has been endorsed by The Minister for Environment and CEPA MD and pending approval by the National Executive Council (NEC). Achieving NEC approval of the PAPIP and operationalizing the	Marginally on target

Midterm Review Report, 2019

R2R Strengthening the Management Effectiveness of the National System of Protected Areas (Papua New Guinea)

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Indicator	Baseline	End of Project target	Self-assessment by PMU, Mar 2019	Midterm status	MTR assessment
			<p>assume their posts. The Project supports in building CEPA staff capacity and ownership of the PA Policy through coaching/mentoring. CEPA staff, particularly its conservation wing, has led the regional consultations on PAIP. Costs associated to PAIP are shared between GEF-4 and GEF-5 projects. PAIP submitted to CACC in September 2017 with a positive endorsement from the Department of National Planning and Monitoring. For the 2019 Budget, CEPA was allocated CIP funding of K1.9m (http://www.treasury.gov.pg/html/national_budget/files/2019/PUBLIC%20Investment%20Program%20Volume%203A.pdf). The 6NR is being supported by the Project as part of the implementation of the PA Policy.</p>	<p>plan before project closure is moderately unlikely, partly due to the change in government and environment minister at end of May 2019.</p>	
	Standards and guidelines: None	Standards and Guidelines for PA Management in PNG approved	<p>Draft PA regulation was completed in April 2018 based from regional stakeholder consultations from June-Dec 2017. Further work on the regulations will depend on the enactment of the PA Bill. CEPA has advised that the Bill is expected to be passed in the May Parliament session. The Project has facilitated for the following working documents:</p> <ol style="list-style-type: none"> 1. Discussion Paper to develop a National Rangers Network in PNG, and a workshop beginning the process of establishing the networks, involving the most successful existing ranger programs in PNG and a representative of a successful Australian Indigenous Ranger Program ; 2. Draft proposed process for evaluation and gazettal of new protected areas, and proformas for proposals 3. Draft Review of Processes and policy briefs to support the conversion of gazetted PAs to conform with the new categories in the proposed PA Act 4. Draft Strategy for initial capacity building into management committees 5. Draft outline management plans 6. Draft roles and responsibilities of Provincial Government in protected area management, with recommendations, using mock session outcomes with the East and West New Britain, East & West Sepik, Morobe provincial administrations. 7. List of PA Policy implementation guidelines and gaps 	<p>The project has facilitated development of the following:</p> <ul style="list-style-type: none"> • Discussion paper to develop a national PA rangers' network. • Draft process for evaluation and gazettal of new PA's. • Draft review of processes and policy briefs to support conversion of PA's to confirm with the proposed PA bill. • Draft standard outline for PA management plans. • Draft roles and responsibilities of provincial governments for PA management. • List of PA policy and implementation guidelines and gaps. <p>Some of the minimum standards and guidelines outlined in the project document have not been yet developed (e.g., performance, management and monitoring standards; PA compliance and law enforcement protocols; community engagement and involvement, etc.). And, it is unclear at what level the standards and guidelines will be approved.</p>	Not on target

Midterm Review Report, 2019

R2R Strengthening the Management Effectiveness of the National System of Protected Areas (Papua New Guinea)

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Indicator	Baseline	End of Project target	Self-assessment by PMU, Mar 2019	Midterm status	MTR assessment
	Zero of CEPA's PA Unit staff completed specialised, targeted short-course training in PA oversight and coordination	>30 of CEPA's PA Unit professional staff completed specialised, targeted short-course training in PA oversight and coordination	The IUCN's Competence Register has been adapted for application to CEPA. The PNG Register was developed with 40 CEPA and related personnel through an online survey around 300 protected area competencies grouped within three broad groups (planning, management and administration; applied protected area management; and general personal competences). Within CEPA, senior managers had high competence in Foundation personal competences and Advanced personal competences (Group C), with high level abilities in analytical skills, addressing complex problems, making decisions, demonstrating transparency and participation, enabling and encouraging team work, supporting and encouraging a range of good workplace practices, and having basic literacy. The Scorecard indicated basic levels of competence around competences on contributing to EIAs of projects and proposals affecting protected areas, promoting the adoption of new approaches, tools and techniques for managing protected areas, building the organisational capacity of protected area administrations, identifying personnel needs and structures for protected area administration, defining position descriptions and setting performance standards, identifying capacity development needs of personnel and implementing relevant programs, a range of finance issues, several limitations in relation to biodiversity management and crime prevention, supporting community-based economic enterprises, tourism related issues, raising awareness, working with the media and using a range of relevant technologies. Middle managers and technical experts had high competence scores in Foundation personal competences and Communication and collaboration. These included building collaborative relationships, teamwork, addressing workplace conflicts, documenting meetings, preparing analytical and technical reports, providing mentoring and guidance, proposing justified conservation measures and information about laws, basic literacy and numeracy, and sensitivity to cultural, gender and ability issues. The Scorecard identified competences that personnel used regularly, but for which they had only basic competence on demonstrating analytical skills, addressing complex problems, promoting the inclusion of protected area and biodiversity issues in educational curricula, facilitating and supporting agreements for community-based sustainable use of natural resources, maintaining productive and equitable working relationships with customary landowners and local communities, several competencies relating to local communities (e.g. enabling the participation of customary landowners in protected area governance and management, negotiating and maintaining	A competence register was developed applying the IUCN Competence Register guideline, through an online survey to 40 CEPA staff and other personnel. PA Solutions has developed and initiated implementation of a PA training programme. The Biodiversity Consultancy has delivered a series of three trainings on biodiversity offsets. And, drone training has been delivered to CEPA, provincial government administration and NGOs.	On target

Midterm Review Report, 2019

R2R Strengthening the Management Effectiveness of the National System of Protected Areas (Papua New Guinea)

UNDP PIMS ID: 5261; GEF Project ID: 5510

Indicator	Baseline	End of Project target	Self-assessment by PMU, Mar 2019	Midterm status	MTR assessment
			<p>formal agreements with communities, promoting and supporting the cultural identify and traditional knowledge and practices of customary landowners, ensuring the protection of sites, features and objects of cultural importance), demonstrating effective interpersonal communication and making effective verbal presentations. As a result, a training and learning program will be rolled out in 2019 to support certification courses, on-the-job training and in-house mentoring to improve the level competences of the SEP wing.</p> <p>The Draft SEP Structure was drafted in response to the PA Policy mandate and PAPIP and the future outlook for GEF 6.</p> <p>Most capacity building to date has been in an informal workplace learning context with consultants working side by side with CEPA officers to assist them e.g. through conducting workshops with provinces in relation to round tables and protected area gazetals. A week’s formal capacity development workshop was conducted in August 2018, attended by 17 SEP wing staff. At the request of managers, this focussed mostly on team building and institutional capacity, but also included sections on protected area management such as planning. A number of less formal meeting have also discussed and worked through a range of issues relating to protected area types, legislative issues setting up ranger programs, technical and professional needs in the SEP Wing.</p> <p>In March 2019, a joint donor agencies & CEPA met to discuss the practicalities of implementing the PA Bill and there was joint brief drafted and submitted to the SEP Director, for further actions on proposed changes to the Bill, after enactment.</p> <p>A follow-up workshop in May 2019 will be focussed on protected area topics covered during the consultancy.</p>		
1.2. METT Scores of Varirata NP	Varirata NP: 27%	Varirata NP: 50%	47% (2017) & 56% (2019)	54.9% (Feb 2019) End target of 50% seems rather low. Project support to the Varirata NP has been limited.	On target
1.3. Sirinumu Dam Integrated Land Use Plan approved and being implemented	No Plan in place	Sirinumu Dam Integrated Land Use Plan approved covering a landscape area of > 7000 ha	<p>Ward-level consultations for the integrated land use plan in the Sogeri Plateau ongoing since June 2018. The Land Use exercise, using the drone for validation was deferred in 2019 due to the local level government elections during April as there is a risk of the process becoming politicised. The elections may be deferred to next year and if so then the landuse exercise will be done this year.</p> <p>Based on the recommendation from the Inception Workshop in 2016, the land use exercise has been expanded to cover the Sogeri Plateau which also includes the Varirata National Park,</p>	Background information collected; stakeholder consultations started; development of land use plan pending.	On target

Midterm Review Report, 2019

R2R Strengthening the Management Effectiveness of the National System of Protected Areas (Papua New Guinea)

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Indicator	Baseline	End of Project target	Self-assessment by PMU, Mar 2019	Midterm status	MTR assessment
			Laloki river catchment and the Sirinumu Dam catchment. The Sogeri Plateau encompasses all these sites as Project's area of interest and implementation		
1.4. Sedimentation levels in the Laloki River as measured at relevant downriver site (and compared to levels in the Sirinumu dam)	To be determined in Year 1 of the project	5% less than the baseline	Bathymetry surveys commenced in July 2018 to assess the sedimentation processes to provide an empirical baseline understanding of the existing sources and extent of sedimentation within the Sirinumu Dam and Laloki river. A wet season sampling was carried out in December 2018, however, the dry season was extended so that the contractors advised that there needed to be wet season sampling for the Laloki River Catchment and Sirinumu Reservoir, for completion of results and that there would be additional costs. Alluvium Consulting were requested to carry out sampling in the wet season around the 18 March. Samples for both dry and wet seasons have now been collected for a final report from the Consultancy. However, the work on the socioeconomic and ecological assessment has been delayed as Alluvium Consultancy had to seek other sub-contractors to complete the work as the original sub-contractors, were not able to complete the work, due to other commitments. Alluvium Consulting recently engaged a new sub-contractor to commence work in April on the social science assessments and engagement activities. The contractor is currently negotiating with a few PNG scientists to carry out the ecological assessments, in the next quarter.	Minimal sedimentation reported in 2018 study; further studies completed in downstream reaches of the catchment. Baseline and end target should be reformulated, e.g., implementing management measures to maintain ecosystem services.	Not on target
Component 2: Strengthening the Capacity of the State and Local Communities to Cooperatively Manage Protected Area Sites					
2.1. Capacity Development indicator score for Madang, Morobe, West Sepik and East Sepik Provincial Government, TCA and TKCP	Morobe Provincial Government: 27% Madang Provincial Government: 23% East Sepik Provincial Government: 23% West Sepik Provincial Government: 21% TCA: 53% TKCP: 62%	Morobe Provincial Government: 50% Madang Provincial Government: 55% East Sepik Provincial Government: 58% West Sepik Provincial Government: 56% TCA: 70% TKCP: 75%	Capacity development scores: Morobe: 45% East Sepik: 33% West Sepik: 34% East Sepik Provincial Government: Not available TCA: Not available TKCP: Not available	MTR team considers the scorecard does not provide a relevant measure of the capacities of provincial agencies and NGOs. And, the self-assessment approach diminishes reliability	Unable to assess
2.2. METT Scores of YUS Conservation Area and Torricelli Mountain Range Conservation Area	YUS: 57% Torricelli: 57%	YUS: 75% Torricelli: 72%	YUS: 69% (Mar 2019) Torricelli: 69% (Mar 2019)	YUS: 69% (Mar 2019) Torricelli: 69% (Mar 2019)	On target
2.3. Extent of area under different National PA Categories and	YUS: Conservation Area: 76,000 ha	YUS:	TKCP continues to actively pursue re-gazettement of YUS Conservation Area at the Landscape Level. TKCP has submitted	YUS:	On target

Midterm Review Report, 2019

R2R Strengthening the Management Effectiveness of the National System of Protected Areas (Papua New Guinea)

UNDP PIMS ID: 5261; GEF Project ID: 5510

Indicator	Baseline	End of Project target	Self-assessment by PMU, Mar 2019	Midterm status	MTR assessment
covered by Integrated Land Use Plans to direct management	Torricelli: 0 ha Protected Area	Community Conservation Area: 151,000 ha Torricelli: Community Conservation Area: 180,000 ha	the originally required documents to CEPA and expect them to complete the process after we submit follow-up boundary descriptions as newly requested. We actively follow the guidance and support from CEPA and Morobe Provincial Government. Landscape-Level Re-gazettal will increase the YUS Conservation Area from its current gazetted 76,000 hectares to approximately 158,000 hectares; representing an increase of 82,000 hectares. Re-gazettal plans are in alignment with PNG's Protected Areas Policy and pending Protected Areas Bill. Re-gazettal is targeted for 2019-2020.	Application submitted for 75,000-ha expansion Torricelli: Application expected to be submitted in June 2019 for gazettal of 185,000-ha CA	
2.4. Stable or increased populations of threatened species - YUS	YUS: Baseline: Matschie's Tree Kangaroo (<i>Dendrolagus matschiei</i>) (Endangered) 250+	YUS: Stable or increased population: Matschie's Tree Kangaroo (<i>Dendrolagus matschiei</i>) 250+	TKCP is currently working towards a prediction of Matschie's tree kangaroo distribution and abundance in YUS and its entire range on the Huon Peninsula, using geographic information systems (GIS) and machine learning predictors with open access environmental predictors. This research commenced in September 2017 and will continue through 2019, after which time the results will be published and shared. An increase in sighting of animals were observed in the Wasaunon research area, which is part of the protected area. The home ranges and behaviour of radio-collared animals are showing healthy populations in the protected area. TKCP is tracking both the home range and use of the forest through GPS and motion/altitudinal sensor collars. Based on data and information collected thus far, the Matchie's tree kangaroo population can be considered stable in the YUS Conservation Area.	Self-assessment reports indicate populations are stable or increasing.	On target
2.5. Stable or increased populations of threatened species - TMR	Tenkile Tree Kangaroo (<i>Dendrolagus scottae</i>) (Critically Endangered) Population estimate 300+; Weimag Tree Kangaroo (<i>D. pulcherrimus</i>) Population estimate 500+	Stable or Increased Populations: Tenkile Tree Kangaroo (<i>Dendrolagus scottae</i>), target 300+ Weimag Tree Kangaroo (<i>D. pulcherrimus</i>), 500+	Increased densities of Weimag recorded 2018.	Self-assessment reports indicate populations are stable or increasing.	On target
2.6. Productivity of organic coffee and cocoa in existing agricultural zones in YUS	Coffee = 2.5 tons per year from 22,650 ha Cocoa = 38.6 tons per year from 6,091 ha.	Coffee > 30 tons per year from 22,650 ha	Since the first export of YUS Conservation Coffee in 2011, more than 120,000 kgs have been sold to Seattle's Caffe Vita (USA) and, more recently, to Melbourne's Jasper Coffee (Australia) - providing YUS farmers with more than PGK700,000. Coffee Production & Exports: 29.5 tons from 22,650 ha in 2018; 45 tons from 22,650 ha in 2017; 30 tons from 22,650 ha in 2016. Through a partnership with PNG's Queen Emma Chocolate Company, YUS Conservation Cocoa continues to be purchased by the company for sale as a premium single-origin chocolate bar, "YUS Kakao." TKCP is currently conducting an assessment of cocoa production and market dynamics in order to facilitate the	Conservation coffee production and export from 22,650 ha were 30 tons in 2016, 45 tons in 2017 and 29.5 tons in 2018.	On target
		Cocoa > 103 tons per year from 6,091 ha		TKCP currently conducting a market assessment for cocoa. Production was adversely affected in 2016-2018 by the cocoa pod borer pest.	Not on target

Midterm Review Report, 2019

R2R Strengthening the Management Effectiveness of the National System of Protected Areas (Papua New Guinea)

UNDP PIMS ID: 5261; GEF Project ID: 5510

Indicator	Baseline	End of Project target	Self-assessment by PMU, Mar 2019	Midterm status	MTR assessment
			initiative's scale-up through broader market access, quality improvements, and continued pest mitigation for the cocoa pod borer which significantly affected production during 2016-2018.		
2.7. Formal agreements in place between communities in participating conservation areas and central and/or Provincial Government/ project IAs, to provide financial and in-kind (service provision) support to participating communities, resulting in at least PGK 400 (approximately USD 150) in additional resources per household per year provided to the communities concerned	YUS – US\$ 50 per Household (coffee and cocoa producers) TCA = US\$ 0	YUS – US\$ 200 per household (coffee and cocoa producers)	The YUS Conservation Coffee and Cocoa Cooperative reinforces the YUS Conservation Area Bylaws requiring all members to abide by the rules or be ineligible to sell their commodity under the umbrella organization. As a result, the cooperative members are able to sell as 'YUS Conservation Coffee and Cocoa,' receiving a premium price from the buyer. In 2018, YUS Conservation Coffee farmers earned an average of more than \$200 per family as a result of selling coffee through the cooperative and abiding by the bylaws.	Self-assessment reporting indicates that YUS Conservation Coffee farmers are earning an average of more than USD 200 per household. Moreover, there has been air freight subsidies committed by the Morobe Provincial Government.	On target
		TCA = US\$ 150 ²⁴ per household (Alternative Proteins beneficiaries)	TCA/TMRCA = 50 villages, 13,000+ people, = <u>2,500</u> households. NB: Project Benefits to villages (Rice,Solar,Alt Protein), as of Nov 2018 is >US\$500,000 in project materials & transport, meaning > US\$200 per household presently invested/received - from Output 2.4 - Community Livelihoods. NB: Costs in obtaining agreements for TMRCA (LLG/PG resolutions etc), training/meetings for TMRCA with 50 villages, GPS/Land-use planning, TMRCA submission etc is also > US\$500,000, meaning >US\$200 per household presently invested from Output 2.3 - Establishing the TMRCA. To date, there has been a total investment of ~US\$400 per household - Outputs 2.3 & 2.4. As of March 2019, the achieved target, for additional resources for TCA/TMRCA is: US\$130 per hh <ul style="list-style-type: none"> Signed Commitment from Sandaun Provincial (SP) Government to TCA - K150,000 per year until 2020 = ~US\$20 per year/per household until 2020 (Letter from SP Governor obtained) Commitment from Aitape/Lumi District member to support 'Solar' = ~US\$30 per household. Commitment from Nuku District member not yet confirmed. In-kind contribution from 5 LLGs, Aitape/Lumi, Nuku & Ambunti/Drekikier Districts, Sandaun & East Sepik Provincial Governments = ~US70 per household, support for TMRCA In-kind support from CEPA = ~US\$ 10 per household 	Self-assessment reporting indicates the 2,500 households in the conservation landscape have benefitted more than USD 200 per household, through provision of materials and training for rice growing, fish farming and other alternative protein sources, tin roofing for increased rainwater harvesting, etc.). And local and provincial government administrations have pledged monetary and in-kind support.	On target

²⁴ A methodology will have to be developed during project implementation to measure this as "in-kind" or "subsistence" value for the alternative protein activities in TMR CA.

Annex 7: Cofinancing Table

Note	Sources of Cofinancing ¹	Name of Cofinancer	Type of Cofinancing ²	Amount Confirmed at CEO Endorsement USD	Actual Amount Contributed at Stage of Midterm Review USD	Expected Amount by Project Closure ³ USD	Actual % of Expected Amount USD
4	GEF Agency	UNDP (TRAC funds)	Grant	\$250,000	\$0	\$0	0%
5	GEF Agency	UNDP	Grant	\$350,000	Information unavailable	Information unavailable	Information unavailable
6	National Government	CEPA	Grant	\$30,000,000	Information unavailable	Information unavailable	Information unavailable
7	National Government	CEPA	In-kind	\$8,000,000	\$534,407	\$1,034,407	TBD
8	Civil Society Organization	TKCP	Grant	\$500,000	\$260,000	\$500,000	52%
9	Civil Society Organization	TKCP	In-kind	\$250,000	\$186,000	\$270,000	69%
10	Civil Society Organization	Woodlands Park Zoo	Grant	\$1,650,000	\$306,000	\$525,000	58%
11	Civil Society Organization	Woodlands Park Zoo	In-kind	\$65,000	\$701,000	\$1,233,000	57%
12	Civil Society Organization	TCA	In-kind	\$1,400,000	\$1,019,811	\$1,644,002	62%
13	Civil Society Organization	TCA	Grant	\$894,200	\$528,837	\$678,837	78%
14	Other (beneficiaries)	YUS Conservation Organization	In-kind	\$1,000,000	\$600,000	\$1,000,000	60%
15	Other (beneficiaries)	YUS Conservation Organization	Grant	\$50,000	\$13,500	\$13,500	100%
	Total			\$44,409,200	\$4,149,555	\$6,898,746	60%
Notes:							
1	Sources of Co-financing may include: Bilateral Aid Agency(ies), Foundation, GEF Partner Agency, Local Government, National Government, Civil Society Organization, Other Multi-lateral Agency(ies), Private Sector, Other						
2	Type of Co-financing may include: Grant, Soft Loan, Hard Loan, Guarantee, In-Kind, Other						
3	Expected amount by project closure includes actual materialized by midterm and expected cofinancing during the second half of the project.						
4	UNDP cofinancing associated with TRAC funds has not materialized as planned, as allocation of core resources across the UNDP has been significantly reduced due to budget cuts arising from global UN reform processes.						
5	Information unavailable.						
6	Information unavailable.						
7	Based on information provided by CEPA, materialized cofinancing by midterm: PGK 1781356.96 (USD 537,407)						
8	Information provided by WPZ/TKCP.						
9	Information provided by WPZ/TKCP.						
10	Information provided by WPZ.						
11	Information provided by WPZ.						
12	Includes trainers from USA for solar projects; contributions from communities for rice farming and fish farming including timber, gravel, fuel and labor, and for attending meetings.						
13	Includes complementary interventions supported by WaterAid, Perth Zoo, EU/BirdLife International and TCA Australia.						
14	Information provided by WPZ/TKCP.						
15	Information provided by WPZ/TKCP.						

Annex 8: Rating Scales

Ratings for progress towards results:

Highly Satisfactory (HS)	Project is expected to achieve or exceed all its major global environmental objectives, and yield substantial global environmental benefits, without major shortcomings. The project can be presented as “good practice”.
Satisfactory (S)	Project is expected to achieve most of its major global environmental objectives, and yield satisfactory global environmental benefits, with only minor shortcomings.
Moderately Satisfactory (MS)	Project is expected to achieve most of its major relevant objectives but with either significant shortcomings or modest overall relevance. Project is expected not to achieve some of its major global environmental objectives or yield some of the expected global environment benefits.
Moderately Unsatisfactory (MU)	Project is expected to achieve its major global environmental objectives with major shortcomings or is expected to achieve only some of its major global environmental objectives.
Unsatisfactory (U)	Project is expected not to achieve most of its major global environment objectives or to yield any satisfactory global environmental benefits.
Highly Unsatisfactory (U)	The project has failed to achieve, and is not expected to achieve, any of its major global environment objectives with no worthwhile benefits.

Ratings for project implementation and adaptive management:

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”.
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.
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.
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.
Unsatisfactory (U)	Implementation of most of the seven components is not leading to efficient and effective project implementation and adaptive management.
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):

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
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
Moderately Unlikely (MU)	Significant risk that key Outcomes will not carry on after project closure, although some outputs and activities should carry on
Unlikely (U)	Severe risks that project Outcomes as well as key outputs will not be sustained

Annex 9: Signed UNEG Code of Conduct Agreement Form

Evaluators:

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

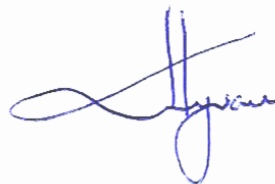
Name of Consultants: James Lenoci, Katherine Yuave

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

Signed on 03 March 2019



James Lenoci
International Consultant/Team Leader



Katherine Yuave
National Consultant

Annex 10: MTR Terms of Reference



Terms of Reference for International Consultant UNDP/GEF Project Mid-term Review

Title: Team Leader (international consultant) Mid-Term Project Review

Project: Strengthening the Management Effectiveness of the National System of Protected Areas

Duration: 45 days to be completed by April, 2019

Supervisor(s): UNDP PNG Country Office; UNDP/GEF Bangkok Regional Hub in consultation with national implementing partner, Conservation and Environment Protection Authority (CEPA) and responsible parties, Woodland Park Zoo (Tree Kangaroo Conservation Program and Tenkile Conservation Alliance)

Duty Station: Port Moresby, Varirata National Park, Lumi/Drekikir, East and West Sepik Province and YUS, Kabwum, Morobe Province

1. INTRODUCTION

This is the Terms of Reference (ToR) for the Mid-Term Review (MTR) for the full-sized UNDP/GEF supported project titled **“Strengthening the Management Effectiveness of the National System of Protected Areas (PIMS#:5261)”** implemented through the Conservation and Environment Protected Authority, Woodland Park Zoo’s Tree Kangaroo Conservation Program and Tenkile Conservation Alliance. The project started in July 2015 and is in its third year of implementation. This ToR sets out the expectations for this Mid-term Review (MTR). The MTR process must follow the guidance outlined in the document, [Guidance for Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects](#).

2. PROJECT BACKGROUND INFORMATION

PNG is one of the world’s 17 most diverse countries, accounting for less than 0.5% of the earth’s surface area and hosts 6-8% of the world’s biodiversity containing some of the world’s most biologically diverse ecosystems (Sekhran and Miller, 1995). To date, obtaining definitive information on the biological richness of the country remains difficult as many areas are poorly studied. With this rich biodiversity, PNG also has vast wealth in natural resources: gold, copper, oil, gas, timber and fisheries. PNG has a maritime Economic Exclusive Zone of 3.1 million square kilometers, which is host to abundant tuna resources and diverse marine fisheries. PNG’s tropical rainforest is third largest in the world (60% of the country’s land) while thirty per cent of the country’s land mass is suitable for agriculture and the soils are generally fertile, with the climate and rainfall sufficient to support a wide range of crops for domestic consumption and export markets.

However, the primary threats to terrestrial biodiversity in PNG are deforestation and degradation (from logging and subsistence agriculture), mining (including pollution and waste runoff) and agricultural conversion (e.g. for oil palm, biofuels, etc.). Not only does forest loss result directly from these activities, but the secondary effects from improved road access makes frontier areas susceptible to ongoing clearing for agriculture and salvage logging. Recent spatial analysis suggested that the average annual rate of deforestation and degradation across all regions of PNG over the 1972-2002 period was 1.4%, almost twice the rate previously recorded. It is estimated that by 2021, 83% of the commercially accessible forest areas will have been cleared or degraded if current trends continue. Much of the

logging-related forest loss is concentrated in lowland forest areas; by 2002, lowland forests accessible to mechanized logging were being degraded or cleared at the rate of 2.6% annually.

Currently, Protected Areas (PAs) cover about 4.1% of the land area and far less than 1% of marine areas – well below the targets under the United National Convention on Biological Diversity UNCBD). The focus of PA establishment has been on inclusive community-driven models, particularly the Wildlife Management Areas (WMAs). Some local communities have also been declaring ad-hoc community conservation areas (both terrestrial and marine) through the establishment of conservation deeds or conservation contracts under contract law, with the help of NGOs. However, these community conservation areas are not formally recognized as part of the national PA network. Most existing protected areas in PNG have been designated as WMAs under the Fauna (Protection & Control) Act 1966, since this is the legal structure that most readily accommodates existing community resource management systems. However, this Act focuses on fauna and is therefore not an effective legal structure for comprehensive biodiversity conservation at the landscape or ecosystem level.

The overall progress on effective PA management in PNG is very low in terms of planning, establishment and support. These weaknesses were recognized several decades ago¹, and the fact that there has been no improvement as found in the recent Rapid Appraisal and Prioritization of Protected Areas Management (RAPPAM)², which found that most state-run and community-managed PAs still lack effective management plans, technical capacity and funding support. An analysis of the PA system conducted as part of PNG's response to the CBD Programme of Work on Protected Areas (PoWPA)³ came to similar conclusions. The ineffectiveness of current conservation approaches was illustrated by a recent spatial analysis indicating that most PAs in PNG have suffered forest clearance or degradation at rates almost identical with non-PA forest areas.

Clearly, a viable long-term solution to address the increasing threats to PNG's high conservation value forests is to bring a representative sample of the country's biodiversity resources under some form of protection. This required recognition of customary tenure as the Government have had limited ability to demarcate conservation areas and the current WMAs are ineffectively managed and supported; certainly, few if, can conform even to the minimum management requirements for multi-use PAs under the IUCN Categories V or VI. Moreover, the PAs that do exist largely fail to achieve any strategic coverage of key biodiversity habitats. The challenge is to develop an effective model of protection which recognizes and accommodates the unique resource ownership structure in PNG but offers real economic and/or development incentives for long-term conservation of important habitats.

The Government has made a renewed commitment to support a viable and sustainable protected area system in the country, working in partnership with community landowners, non-government conservation organizations, private sector and local administrations. The premise is that if local people are capacitated to manage their ecosystems and landscapes sustainably, they will in turn enhance the ecosystem service value and secure more rights to benefit from ecosystem products and other natural resources to improve livelihoods. PNG's new Protected Areas Policy (PAP) approved by National Executive Council in December 2014 and the CEPA Act of May 2014 provides the overall policy and legal framework for the newly established Conservation and Environmental Protection Authority (CEPA). These instruments are intended to give new impetus to conservation priorities and pose an excellent opportunity to improve biodiversity conservation in the broadest sense in PNG.

The project aims to support Government's commitment to operationalise the PNG's PAP as well as support the transitions from the former Department of Environment and Conservation to CEPA. Furthermore, the project will

¹ Williams et al. (1993): Conservation Areas Strengthening Project 1994-2000

² WWF (2009): An Assessment of the Effectiveness of Papua New Guinea's Protected Areas Using WWF's RAPPAM Methodology. November 2009

³ 13 Tortell and Duguman (2008): *Supporting Country Action on the CBD Programme of Work on Protected Areas, Report on Preparation of Request from Papua New Guinea*, UNDP, Port Moresby.

strengthen the links between central government's policy and institutional systems with newly established decentralised PA governance and management structures and 'bottom up' conservation initiatives that are being established by community landowners and conservation partners in key biodiversity areas throughout the country. Specifically, the project will improve conservation efforts at three important natural sites:

- i. Varirata National Park in Central Province: CEPA will promote public-private partnerships involving communities in protecting the area, whilst encouraging initiatives like recreational and research activities and exploring the area's tourism potential;
- ii. The YUS Conservation Area is between Madang and Morobe and is led by Woodland Park Zoo's Tree Kangaroo Conservation Program in partnership provincial governments and local communities. This is the first site in PNG dedicated to conserving the endangered Matschie's tree kangaroo (*Dendrolagus matschiei*) and its habitats.
- iii. The proposed Torricelli Mountain Range Conservation Area is between East and West Sepik Provinces and led by the Tenkile Conservation Alliance is also involved in the conservation of two critically endangered tree kangaroo (Tenkile and Weimang) and a vulnerable species of grizzled tree kangaroo.

3. MID-TERM REVIEW OBJECTIVES

The Mid-Term Review (MTR) will assess progress towards the achievement of the project objectives and outcomes as specified in the Project Document, and assess early signs of project success or failure with the goal 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, its risks to sustainability.

The purpose of MTR is to examine the performance of the project since the beginning of its implementation. The review will include both the review of the progress in project implementation, measured against planned outputs set forth in the Project Document in accordance with rational budget allocation and the assessment of features related to the process involved in achieving those outputs, as well as the initial and potential impacts of the project. The review will also address underlying causes and issues contributing to targets not adequately achieved.

The MTR is intended to identify weaknesses and strengths of the project design and make recommendations for any changes in the overall design and orientation of the project by evaluating the adequacy, efficiency, and effectiveness of its implementation, as well as assessing the project outputs and outcomes to date. Consequently, the review team is also expected to make detailed recommendations on the work plan for the remaining project period. It will also provide an opportunity to assess early signs of the project success or failure and prompt necessary adjustments.

The review will also identify lessons learnt and best practices from the project which could be applied to future and other on-going projects.

4. MTR APPROACH & METHODOLOGY

The MTR must provide evidence-based information that is credible, reliable and useful. The MTR team will review all relevant sources of information including documents prepared during the preparation phase (i.e. PIF, UNDP Initiation Plan, UNDP Environmental & Social Safeguard Policy, the Project Document, project reports including Annual Project Review/PIRs, project budget revisions, lesson learned reports, national strategic and legal documents, and any other materials that the team considers useful for this evidence-based review). The MTR team will review the baseline GEF focal area Tracking Tool submitted to the GEF at CEO endorsement, and the midterm GEF focal area Tracking Tool that must be completed before the MTR field mission begins.

The MTR team is expected to follow a collaborative and participatory approach⁴ ensuring close engagement with the Project Team, government counterparts (the GEF Operational Focal Point), the UNDP Country Office(s), UNDP-GEF Regional Technical Advisers, and other key stakeholders.

Engagement of stakeholders is vital to a successful MTR. Stakeholder involvement should include interviews with stakeholders who have project responsibilities, including but not limited to key partners and pilot provinces); implementing partners, key experts and consultants in the subject area, Project Board, project stakeholders, academia, local government and CSOs, etc. Additionally, the MTR team is expected to conduct field missions to Port Moresby, Papua New Guinea, including the project sites in YUS, Lumi and Varirata.

The international consultant serving as the team leader will lead the MTR which will be conducted in a participatory manner working on the basis that the objective is to assess project implementation and impacts in order to recommend improvements in the implementation and other decisions.

The MTR team leader is expected to lead the engagement with the Project Team, government counterparts, the UNDP Country Office(s), UNDP-GEF Regional Technical Advisers, and other key stakeholders.

The review will start with a desk review of project documentation and the following process:

- a. Desk review of project document, outputs, monitoring reports such as Project Inception Report, Minutes of Project Advisory Board and Technical Support and Advisory Team meetings, Project Implementation Report, Quarterly Progress Reports, mission reports and other internal documents including financial reports and relevant correspondence);
- b. Review of specific products including datasets, management and action plans, publications, audio visual materials, other materials and reports;
- c. Interviews with the Project Manager, other project staff including provinces; and
- d. Consultations and/or interviews with relevant stakeholders involved, including governments representatives, local communities, NGO's, private sector, donors, other UN agencies and organizations.

The final MTR report should describe the full MTR approach taken and the rationale for the approach making explicit the underlying assumptions, challenges, strengths and weaknesses about the methods and approach of the review.

5. DETAILED SCOPE OF MID-TERM REVIEW

The MTR team will assess the following four categories of project progress. See the *Guidance For Conducting Midterm Reviews of UNDP-Supported, GEF-Financed Projects* for extended descriptions.

i. 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. Were lessons from other relevant projects properly incorporated into the project design?
- Review how the project addresses country priorities. Review country ownership. Was the project concept in line with the national sector development priorities and plans of the country?

⁴ For ideas on innovative and participatory Monitoring and Evaluation strategies and techniques, see [UNDP Discussion Paper: Innovations in Monitoring & Evaluating Results](#), 05 Nov 2013.

- 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.
- 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.
- Are the project's objectives and outcomes or components clear, practical, and feasible within its time frame?
- 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.
- Ensure broader development and gender aspects of the project are being monitored effectively.

ii. Progress Towards Results

Progress Towards Outcomes Analysis:

- Review the logframe indicators against progress made towards the end-of-project targets using the Progress Towards Results Matrix; colour code progress in a “traffic light system” based on the level of progress achieved; assign a rating on progress for each outcome; make recommendations from the areas marked as “Not on target to be achieved” (red).

Table 1: Progress Towards Results Matrix (Achievement of outcomes against End-of-project Targets)

Project Strategy	Indicator ⁵	Baseline Level ⁶	Level in 1 st PIR (self- reported)	Midterm Target ⁷	End-of-project Target	Midterm Level & Assessment ⁸	Achievement Rating ⁹	Justification for Rating
Objective:	Indicator (if applicable):							
Outcome 1:	Indicator 1:							
	Indicator 2:							
Outcome 2:	Indicator 3:							
	Indicator 4:							
	Etc.							
Etc.								

Indicator Assessment Key

Green= Achieved	Yellow= On target to be achieved	Red= Not on target to be achieved
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In addition to the progress towards outcomes analysis:

- Compare and analyse the Project Results Tracker within the PIR at the Baseline with the one completed right before the Midterm Review.
- Identify remaining barriers to achieving the project objective in the remainder of the project.

⁵ Populate with data from the Logframe and scorecards

⁶ Populate with data from the Project Document

⁷ If available

⁸ Colour code this column only

⁹ Use the 6 point Progress Towards Results Rating Scale: HS, S, MS, MU, U, HU

- By reviewing the aspects of the project that have already been successful, identify ways in which the project can further expand these benefits.

iii. Project Implementation and Adaptive Management

Management Arrangements:

- Review overall effectiveness of project management as outlined in the Project Document. Have changes been made and are they effective? Are responsibilities and reporting lines clear? Is decision-making transparent and undertaken in a timely manner? Recommend areas for improvement.
- Review the quality of execution of the Executing Agency/Implementing Partner(s) and recommend areas for improvement.
- Review the quality of support provided by the GEF Partner Agency (UNDP) and recommend areas for improvement.

Work Planning:

- Review any delays in project start-up and implementation, identify the causes and examine if they have been resolved.
- Are work-planning processes results-based? If not, suggest ways to re-orientate work planning to focus on results?
- Examine the use of the project's results framework/ logframe as a management tool and review any changes made to it since project start.

Finance and co-finance:

- Consider the financial management of the project, with specific reference to the cost-effectiveness of interventions.
- Review the changes to fund allocations as a result of budget revisions and assess the appropriateness and relevance of such revisions.
- Does the project have the appropriate financial controls, including reporting and planning, that allow management to make informed decisions regarding the budget and allow for timely flow of funds?
- Informed by the co-financing monitoring table to be filled out, provide commentary on co-financing: is co-financing being used strategically to help the objectives of the project? Is the Project Team meeting with all co-financing partners regularly in order to align financing priorities and annual work plans?

Project-level Monitoring and Evaluation Systems:

- Review the monitoring tools currently being used: Do they provide the necessary information? Do they involve key partners? Are they aligned or mainstreamed with national systems? Do they use existing information? Are they efficient? Are they cost-effective? Are additional tools required? How could they be made more participatory and inclusive?
- Examine the financial management of the project monitoring and evaluation budget. Are sufficient resources being allocated to monitoring and evaluation? Are these resources being allocated effectively?

Stakeholder Engagement:

- Project management: Has the project developed and leveraged the necessary and appropriate partnerships with direct and tangential stakeholders?
- Participation and country-driven processes: Do local and national government stakeholders support the objectives of the project? Do they continue to have an active role in project decision-making that supports efficient and effective project implementation?
- Participation and public awareness: To what extent has stakeholder involvement and public awareness contributed to the progress towards achievement of project objectives?

Reporting:

- Assess how adaptive management changes have been reported by the project management and shared with the Project Advisory Board.
- Assess how well the Project Team and partners undertake and fulfil UNDP/GEF reporting requirements (i.e. how have they addressed poorly-rated PIRs, if applicable?)
- Assess how lessons derived from the adaptive management process have been documented, shared with key partners and internalized by partners.

Communications:

- Review internal project communication with stakeholders: Is communication regular and effective? Are there key stakeholders left out of communication? Are there feedback mechanisms when communication is received? Does this communication with stakeholders contribute to their awareness of project outcomes and activities and investment in the sustainability of project results?
- Review external project communication: Are proper means of communication established or being established to express the project progress and intended impact to the public (is there a web presence, for example? Or did the project implement appropriate outreach and public awareness campaigns?)
- For reporting purposes, write one half-page paragraph that summarizes the project's progress towards results in terms of contribution to sustainable development benefits, as well as global environmental benefits.

iv. Sustainability

- Validate whether the risks identified in the Project Document, PIRs, and the ATLAS Risk Management Module are the most important and whether the risk ratings applied are appropriate and up to date. If not, explain why.
- In addition, assess the following risks to sustainability:

Financial risks to sustainability:

- What is the likelihood of financial and economic resources not being available once the GEF assistance ends (consider potential resources can be from multiple sources, such as the public and private sectors, income generating activities, and other funding that will be adequate financial resources for sustaining project's outcomes)?

Socio-economic risks to sustainability:

- Are there any social or political risks that may jeopardize sustainability of project outcomes? What is the risk that the level of stakeholder ownership (including ownership by governments and other key stakeholders) will be insufficient to allow for the project outcomes/benefits to be sustained? Do the various key stakeholders see that it is in their interest that the project benefits continue to flow? Is there sufficient public/stakeholder awareness in support of the long-term objectives of the project? Are lessons learned being documented by the Project Team on a continual basis and shared/ transferred to appropriate parties who could learn from the project and potentially replicate and/or scale it in the future?

Institutional Framework and Governance risks to sustainability:

- Do the legal frameworks, policies, governance structures and processes pose risks that may jeopardize sustenance of project benefits? While assessing this parameter, also consider if the required systems/ mechanisms for accountability, transparency, and technical knowledge transfer are in place.

Environmental risks to sustainability:

- Are there any environmental risks that may jeopardize sustenance of project outcomes?

Conclusions & Recommendations

The MTR team will include a section of the report setting out the MTR's evidence-based conclusions, in light of the findings.¹⁰

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.

Rec #	Recommendation	Entity Responsible
A	(State Outcome 1) (Outcome 1)	
A.1	Key recommendation:	
A.2		
A.3		
B	(State Outcome 2) (Outcome 2)	
B.1	Key recommendation:	
B.2		
B.3		
C	(State Outcome 3) (Outcome 3), etc.	
C.1	Key recommendation:	
C.2		
C.3		
D	Project Implementation & Adaptive Management	
D.1	Key recommendation:	
D.2		
D.3		
E	Sustainability	
E.1	Key recommendation:	
E.2		
E.		

The MTR team should make no more than 15 recommendations in total.

Ratings

The MTR team will include its ratings of the project's results and brief descriptions of the associated achievements in a *MTR Ratings & Achievement Summary Table* in the Executive Summary of the MTR report. See Annex E for ratings scales. No rating on Project Strategy and no overall project rating is required.

Table. MTR Ratings & Achievement Summary Table for (Project Title)

Measure	MTR Rating	Achievement Description
Project Strategy	N/A	
Progress Towards Results	Objective Achievement Rating: (rate 6 pt. scale)	
	Outcome 1 Achievement Rating: (rate 6 pt. scale)	
	Outcome 2 Achievement Rating: (rate 6 pt. scale)	
	Outcome 3 Achievement Rating: (rate 6 pt. scale)	
	Etc.	
Project Implementation & Adaptive Management	(rate 6 pt. scale)	
Sustainability	(rate 4 pt. scale)	

¹⁰ Alternatively, MTE conclusions may be integrated into the body of the report.

6. PROPOSED SCHEDULE

The consultancy will be for approximately 45 working days starting in October and will not exceed five months from when the consultant(s) are hired. The tentative MTR timeframe is as follows:

TIMEFRAME	ACTIVITY
31 October 2018	Application closes
2 November 2018	Select MTR Team/Signing of Contracts
5 November 2018	Prep the MTR Team (handover of Project Documents)/Discuss workplan
5 -9 November 2018	Document review and preparing MTR Inception Report
14 -16 November 2018	Finalization and Validation of MTR Inception Report
19 Nov. – 14 Dec. 2018	MTR mission: interviews through skype call with stakeholders due to APEC
28 January – 22 February 2019	MTR field mission to project sites for meeting with stakeholders
25-28 February 2019	Mission wrap-up & presentation of initial findings- earliest end of MTR mission
15 March 2019	Draft MTR report due
18 March 2019	Circulate Draft MTR for stakeholder review and comments
22 March 2019	Submit consolidated stakeholder comments to MTR Team Leader
25-29 March 2019	Incorporating audit trail from feedback on draft report/Finalization of MTR report
1-3 April 2019	Preparation & Issue of UNDP Management Responses to MTR Recommendations
(date)	(optional) Concluding Stakeholder Workshop (not mandatory for MTR team)
8 April 2019	Expected date of full MTR completion

Options for site visits should be provided in the inception report.

7. DELIVERABLES

The report together with the annexes shall be written in English and shall be presented in electronic form in MS Word format.

The tentative MTR schedule of deliverables, responsibilities and timeframes is detailed below:

#	Deliverable	Description	Timing	Due Date	Responsibilities
1	MTR Inception Report	MTR team clarifies objectives and methods of Midterm Review	No later than 2 weeks before the MTR mission	14 November 2018	MTR team submits to the Commissioning Unit and project management
2	Presentation	Initial Findings	End of MTR mission	26 February 2019	MTR Team presents to project management and the Commissioning Unit
3	Draft Report	Full report (using guidelines on content outlined in Annex B) with annexes	Within 3 weeks of the MTR mission	15 March 2019	Sent to the Commissioning Unit, reviewed by RTA, Project Coordinating Unit, GEF OFP
4	Final Report*	Revised report with audit trail detailing how all received comments have (and have not) been addressed in the final MTR report	Within 2 weeks of receiving UNDP comments on draft	8 April 2019	Sent to the Commissioning Unit

*The final MTR report must be in English. If applicable, the Commissioning Unit may choose to arrange for a translation of the report into a language more widely shared by national stakeholders.

8. MTR ARRANGEMENTS

The principal responsibility for managing this MTR resides with the Commissioning Unit. The Commissioning Unit for this project's MTR is UNDP Papua New Guinea Country Office.

The UNDP PNG Country Office will contract the consultants and ensure the timely provision of support for the MTR team including provision of per diems and travel arrangements within the country. The UNDP PNG Country Office with the assistance of Project Team will be responsible for liaising with the MTR team to provide all relevant documents, set up stakeholder interviews, and arrange field visits.

9. TEAM COMPOSITION

A team of two independent consultants will conduct the MTR – one team leader (with experience and exposure to projects and evaluations in other regions globally) and one national expert from the country of the project. 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.

The team leader will be supported by national consultant to conduct the MTR.

The selection of consultants will be aimed at maximizing the overall “team” qualities in the following areas:

Position	General Qualifications and Experience
Key Professional Staff	
International Team Leader	<p><u>Academic Qualifications:</u> Master’s degree or higher in the fields related to Environment, Natural resources, or other closely related field from an accredited college or university.</p> <p><u>Experience:</u></p> <ul style="list-style-type: none"> • Recent experience with result-based management and/or evaluation methodologies; • Experience applying SMART indicators and reconstructing or validating baseline scenarios; • Competence in adaptive management, as applied to biodiversity conservation; • Experience working in Papua New Guinea, Pacific Islands, or Developing Countries; • Familiarity with the challenges developing countries face in sustainable natural resource management and biodiversity conservation that includes communities; (5%) • Demonstrated understanding of issues related to gender and biodiversity conservation and/or community-based conservation/natural resource management; experience in gender sensitive evaluation and analysis. (5%) • Experience working with GEF or GEF evaluations, UNDP evaluations or other UN agencies and/or international organizations and/or major donor agencies is an advantage; • Excellent communication skills; • Demonstrable analytical skills; <p><u>Language:</u></p> <ul style="list-style-type: none"> • Excellent written and oral English skills a necessary requirement
National Team Expert	<p><u>Academic Qualifications:</u> Master’s degree in the fields related to Environment, Natural resources, or other closely related field from an accredited college or university.</p> <p><u>Experience:</u></p> <ul style="list-style-type: none"> • Minimum 5 years of relevant experience • Recent experience with result-based management evaluation methodologies • Experience in undertaking evaluations for UNDP or for GEF • Experience working in the area of Biodiversity and Natural Resource Management) • Work experience related specifically to mobilizing investment for Biodiversity and Natural Resource Management projects • Excellent communication and analytical skills;

Position	General Qualifications and Experience
	Language: Excellent written and oral English skills a necessary requirement

10. PAYMENT MODALITIES AND SPECIFICATIONS

The international and national consultants will be paid on lump sum basis including international and domestic travel and DSA upon satisfactory delivery.

10% of payment upon approval of the final MTR Inception Report

10% of payment upon approval and presentation of Initial Findings

30% of payment upon submission of the draft MTR report

50% of payment upon finalization and approval of the MTR report

11. APPLICATION PROCESS¹¹

Recommended Presentation of Proposal:

- a) **Letter of Confirmation of Interest and Availability** using the [template](#)¹² provided by UNDP;
- b) **CV**
- 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** that indicates the all-inclusive fixed total contract price and all other travel related costs (such as flight ticket, per diem, etc), supported by a breakdown of costs, as per template attached to the Letter of Confirmation of Interest template. 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.

All application materials should be submitted to the address UNDP Resident Representative, UNDP PNG, P.O.Box 1041, Port Moresby, Papua New Guinea) **in a sealed envelope indicating either the “Team Leader or National Consultant for Strengthening the Management Effectiveness of the National System of Protected Areas Project Midterm Review” or by email at the following address ONLY: (registry.pg@undp.org) by (5pm, 31 October 2018). Incomplete applications will be excluded from further consideration.**

Criteria for Evaluation of Proposal: Only those applications which are responsive and compliant will be evaluated. Offers will be evaluated according to the Combined Scoring method – where the educational background and experience on similar assignments will be weighted at 70 and the price proposal will weigh as 30 of the total scoring. The minimum technical score to qualify for evaluation of financial proposal is 49. The applicant receiving the Highest Combined Score that has also accepted UNDP’s General Terms and Conditions will be awarded the contract.

¹¹ Engagement of the consultants should be done in line with guidelines for hiring consultants in the POPP: <https://info.undp.org/global/popp/Pages/default.aspx>

¹²

<https://intranet.undp.org/unit/bom/psa/Support%20documents%20on%20IC%20Guidelines/Template%20for%20Confirmation%20of%20Interest%20and%20Submission%20of%20Financial%20Proposal.docx>

Annex 11: Signed MTR final report clearance form

Midterm Review Report Reviewed and Cleared By:	
Commissioning Unit	
Name:	
Signature:	Date:
UNDP-GEF Regional Technical Advisor	
Name:	
Signature:	Date: