**UNDP Papua New Guinea**

R2R Strengthening the Management Effectiveness of

the National System of Protected Areas – GEF5

**Monitoring and Evaluation Workshop**

**Port Moresby, Papua New Guinea**

**December 9-10, 2019**

**Report**

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4. **Introduction**

The UNDP/GEF project “Strengthening the Management Effectiveness of the National System of Protected Areas” (referred to as the “GEF5 project” in this document) is designed to support the Government of PNG’s commitment to protected area management by operationalizing the Protected Area Policy and supporting the institutional transitions at CEPA. It has also been intended to strengthen the links between central government policy and institutional systems and conservation initiatives that are being established by community landowners and conservation partners in key biodiversity areas throughout the country.

The project consists of two components. Component 1 has been focused on supporting management capabilities at the central level, with a focus on CEPA, the Protected Area Policy, and the draft PA Bill. Component 1 has four outputs: (i) policies relating to PA Management and Biodiversity Conservation strengthened; (ii) capacity of CEPA emplaced for effective management of the National PA System; (iii) training programs targeting PA managers institutionalized; and, (iv) effective management of Varirata National Park (VNP) and its integration into the broader Sogeri Plains Landscape (to address sedimentation and siltation in the key water reservoirs supplying Port Moresby). The VNP was expected to be established as a national best practice example for PA management under CEPA leadership, and used as a testing ground for relevant implementation instruments for PA management, such as biodiversity monitoring, law enforcement and other protocols, standards and guidance, to be developed and tested with field staff. Additionally, livelihoods improvements for local land owners were to be achieved, and benefit sharing opportunities and mechanisms were to be tested at this site.

Component 2 has directly supported two conservation areas, the YUS CA and the proposed Torricelli Mountain Range CA. The intended outputs are: (i) the expansion to the landscape level and effective management of the YUS Conservation Area; (ii) community livelihood assistance in the YUS landscape with a focus on conservation coffee and cocoa; (iii) the formal gazettal and effective management of the Torricelli Mountain Range (TMR); and, (iv) community livelihood assistance in the TMR landscape proposed CA (alternative protein, focusing on rabbits, fish farming and home gardens). Notably, under the new PNG Policy on PAs, a change in PA classification has been intended (designated as a Community Conservation Area (CCA), subject to passage of the draft PA Bill). The GEF5 project was conceived to implement strategic activities to link the local conservation work with the overall governance framework, positioning the two as examples for other Regional PAs in PNG to follow. The Tree Kangaroo Conservation Programme (TKCP) and the Tenkile Conservation Alliance (TCA), two national NGOs, have been serving as Implementing Partners (IPs, in Component 2).

The Mid-Term Review (MTR) for the project was completed in June 2019 (well after the mid-term of the project), and focused on identifying potential project design problems, assessing progress towards the achievement of the project objective, and identifying and documenting lessons learned about the project design, implementation and management. The Project was rated as Moderately Satisfactory, with ten recommendations. The management response and actions taken to date have been based on consultations and discussions among project partners which relate to: improved project coherence; increased involvement of CEPA staff in institutionalizing project outputs; prioritizing the mobilization of on-ground support to the Varirata National Park; improvement of financial controls and oversight; project monitoring and evaluation; strengthening project oversight; more synergy and communication amongst partners; and recommendations for a sustainability strategy and action plan and an analysis of lessons learned and best practices regarding green commodities.

Two of the MTR recommendations were the focus of this assignment, as follows:

Recommendation 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; and,

Recommendation 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.

This document contains an analysis of some aspects of the project that were identified in the MTR (noted above) and the results of a workshop in Port Moresby on December 9-10, 2019 that focused on more effective project monitoring and evaluation in the final year of the project (2020). This workshop was facilitated by the international consultant and involved project partners (except for the Tree Kangaroo Conservation Programme, who were unable to attend)[[1]](#footnote-1). The overall tasks assigned to the international consultant (and addressed in this document) are as follows:

1. Thorough review of the project indicators, targets and their means of verification, baseline information, outputs and recheck assumptions and risks.
2. Based on the project results framework and the relevant GEF Tracking Tool as appropriate, identify key activities for incorporation in the draft 2020 annual work plan that further raise the sustainability of results.
3. Adapt the capacity development scorecard according to the mandates of the NGO responsible parties and provincial government administrations.
4. Draft the new project strategy.
5. Orient and update the project results framework according to progress towards long-term impact considerations.
6. Recommend measures to integrate gender mainstreaming objectives into the results framework and reflect the envisaged project outcomes in the results framework as well.
7. Assist the PMU and project proponents to maintain and update records of their contribution to relevant indicator/s to facilitate towards a systematic approach for consolidating regular reports.
8. Strengthen risk management, e.g., delays in approval of the proposed Protected Area bill, gazettal of the proposed Torricelli Mountain Range Conservation Area, expansion of YUS Conservation Area, and challenges with respect to the YUS Community-based Organization.
9. Within the remaining life of the project, design a joint project communication and knowledge management strategy and action plan for implementation of the Project Management Unit.

The assignment involved review of the MTR and all available project documents, as well as the draft 2020 workplans for the project partners, analysis of risk and assumptions and other project aspects, to support the workshop, the collaborative workshop itself, and the accumulated analysis and results of the workshop (this document), to guide project monitoring and evaluation in the final year of the GEF5 project.

1. **Workshop Approach**

The objectives of the workshop were to:

* Review project strengths and weaknesses;
* Clarify remaining project activities (2020), addressing remaining risks;
* Set workable performance indicators (for M+E) within the new Theory of Change;
* Define appropriate accountability for all project partners;
* Clarify capacity development attributes for NGOs and Provincial Government staff;
* Set actions for gender mainstreaming;
* Determine the remaining communication and knowledge management strategy and action plan; and,
* Set an overarching project strategy to optimize achievements and sustainability (collective reporting, based on the workshop results).

The workshop agenda is noted below.

| **Time** | **Topic** |
| --- | --- |
| **Monday Dec9** | |
| **9:00 – 9:30 a.m.** | Introductions.  Review of workshop objectives.  Schedule; workshop administration.  Workshop modalities. |
| **9:30 – 10:00 a.m.** | Key terms and principles for effective project monitoring and evaluation. |
| **10:00 – 10:30 a.m.** | The original project design and the new Theory of Change. |
| **10:30 – 10:45 a.m.** | Coffee break. |
| **10:45 – 11:30 a.m.** | Review of project strengths and weaknesses; responding to them. |
| **11:30 a.m. – 12:30 p.m.** | Risk management: assessment and potential actions. |
| **12:30 – 1:30 p.m.** | Lunch. |
| **1:30 – 2:30 p.m.** | Review of the 2020 workplan: activities, outputs, contribution to outcomes, respective roles. Fit to new theory of change? (*Brainstorming as a group*) |
| **2:30 – 3:30 p.m.** | 2020 workplan: associated risks and performance indicators for TCA (TMR). (*Brainstorming as a group*) |
| **3:30 – 3:45 p.m.** | Coffee break. |
| **3:45 – 4:30 p.m.** | Continuation 2020 workplan: associated risks and performance indicators for TCA (TMR). (*Brainstorming as a group*) |
| **Tuesday Dec10** | |
| **9:00 – 9:15 a.m.** | Review of previous day; questions, concerns. |
| **9:15 – 9:45 a.m.** | 2020 workplan: associated risks and performance indicators for WPZ (YUS). (*Brainstorming as a group*) |
| **9:45 – 10:30 a.m.** | 2020 workplan: associated risks and performance indicators for WPZ (YUS). (*Brainstorming as a group*) |
| **10:30 – 10:45 a.m.** | Coffee break. |
| **10:45 – 11:45 a.m.** | 2020 workplan: associated risks and performance indicators for CEPA. (*Brainstorming as a group*) |
| **11:45 a.m. – 12:30 p.m.** | 2020 workplan: associated risks and performance indicators for CEPA. (*Brainstorming as a group*) |
| **12:30 – 1:30 p.m.** | Lunch. |
| **1:30 – 2:30 p.m.** | Review of capacity attributes. |
| **2:30 – 3:00 p.m.** | Wrap-up; next steps (plan for workshop report; tabling of items for the consultant to expand – not addressed in the workshop). |

**3. Analysis of the GEF5 Project to Date**

There were three main elements in the project analysis that framed the workshop discussions. These were: examination of the strengths and weaknesses of the project (and classification of those into “process” and “results” observations); analysis of risk identification and management; and, examination of the implications of the proposed theory of change for the GEF5 project (from the MTR). The results of this detailed analysis of the project were then brought into the identification of project actions in 2020 and clarification of their performance indicators and possible risks in the final year of the project (addressed in Section 4).

* 1. **Strengths and Weaknesses**

Detailed review of project documents allowed the separation of all project observations and issues into “strengths” and “weaknesses”. Further, a project implementation or management response was developed for each observation, which could then be brought into the strategy for the final year of the project (covered in Sections 4-7).

**All** Strengths and Weaknesses of the GEF5 project to date (extracted from the MTR report, as encountered in the text... ). Process strengths and weaknesses are marked “**P**” and substance (or results-related) strengths and weaknesses are marked “**R**”.

|  | **Observations** | **Responses** |
| --- | --- | --- |
| **Strengths** | | |
| PA policy framework in place, setting operational guidance. **R** | But, the associated PA Bill is languishing. In theory, this should not hold up project work, as the PA Bill is not a requisite for CA planning, or even gazetting (under the current guidelines). | Nevertheless, passing the PA Bill will send a strong message about Government commitment to conservation, and will provide additional tools for conservation scaling up and related enforcement. Ongoing dialogue (CEPA with the new Government), regarding the merits of the PA system, is critical. |
| Draft biodiversity offset policy developed. **R** | This is an important tool to compensate for ongoing development in and near conservation areas, and to encourage establishment of new or expanded CAs. | Like the PA Bill, this needs to be codified and disseminated to stimulate biodiversity offsets (dialogue between CEPA and Government required). |
| CEPA institutional restructuring plan developed. **R** | However, CEPA restructuring is on hold, which is a significant constraint on CEPA functionality, in general, and limiting the required inputs to the project. | CEPA restructuring needs to be brought forward again, under the new Government (perhaps re-validation of the proposed structures and processes is required). The problem is: CEPA is a key project implementer; does it actually want to re-jig itself? (political and staff/individual sensitivities). |
| WPZ/TKCP and TCA (NGO implementers) have long-term engagement and familiarity with YUS and Torricelli Mountain CAs. **P** | This “strength” was a “given”, before the project, not a product of the project itself (but the project must certainly be a reinforcement to these NGOs; although there are still some institutional capacity issues). | Operational modalities, “success” factors, and project results (as well as an honest noting of constraints and weaknesses, to learn from) should all be well-documented in the final phase of the project. |
| Management effectiveness of CEPA apparently improved. **R** | It is not clear at all why management effectiveness has improved (training, change in mandate, more financial resources, etc.?). | It will be important to explain, through some analysis of cause/effect related to the project, or external factors, why management effectiveness has apparently improved. Otherwise, the added value of the project, from the CEPA perspective, will remain obscure. This kind of retrospective usually requires individual staff interviews. |
| YUS CA re-gazettal application submitted; TMR gazettal submitted. **R** | While the applications are positive, in the end, these need to be gazetted and codified as CAs; otherwise all is for nought (it is a key expected result of the project). CEPA and government overall may be “chokepoints” with this issue. | It will be important to increase the dialogue between all parties (CAs, CEPA, Government) to ensure gazetting of these CAs (an aggressive, rather than passive, stance is required). |
| Management effectiveness improved in all three CAs. **R** | As noted above, it not clear what aspects of management effectiveness have improved (perhaps different elements in each of the three CAs). Reasons for improvements need to be understood and documented. | As noted above, the extent to which the project has contributed to improved management effectiveness needs to be analyzed. Also, evidence of improved management at the CA level should be collected, to help inform future projects. |
| Increased understanding of target species in CAs. **R** | Definitely a positive result. | Information on target species needs to be well documented and disseminated during the remaining project time (including clear reference to studies that the project has supported). |
| Apparent stability or increase in numbers of key target species. **R** | Evidence for these conclusions needs to be clearly presented. | As above, the data on target species need to be documented and explained. For example, what are the key reasons for population stability or increases (habitat protection/expansion, less hunting, etc.)? Has the project contributed to any of this? |
| Advances in alternative livelihood ventures (notably coffee, alternative protein sources, gardens; rainwater harvesting). **R** | These are all positive developments and will certainly help to reduce habitat/natural resource degradation rates in the CAs. | The actual project contributions to these developments need to be accurately described (would they have happened anyhow? Were other donors/projects responsible? Can they be sustained – are they supported with business models? etc.). |
| More than 60 villages (100?) involved with YUS and TMR CA project activities. **R** | There is still a question about how many villages have been added to the CA area, since the beginning of the project (the baseline). | It would be very useful to develop a simple profile of each village in the three CAs and indicate their conservation and alternative livelihood actions, to clarify the relationship between the villages and the CAs, and to get a better sense of what actions are most effective; which are marginal. Also, there is a need to look at the business models of the livelihood actions and their potential sustainability (not relying on project or Government subsidies in the future). |
| YUS and TMR CAs apparently demonstrating CCA modalities; capacity increases evident. **R** | More evidence, on a case-by-case basis, of CCA modalities and capacity increases (what exactly), is required. | See comments to the left; CCA modalities and capacity specifics need to be understood and documented, and the contribution of the project to these items made clear. |
| Regional roundtables have been initiated on a trial basis. **R** | What has been the result of roundtable discussions? | The agenda and action points for the regional roundtable going forward need to be clarified. What are the expectations for the roundtable? |
| Background information and stakeholder consultations for Sogeri Plateau land use plan. **R** | Has the land use plan be fully developed? What is its status, and what are next steps? | Has the project contributed to the Sogeri Plateau land use plan? What future project actions are required to advance the plan? |
| YUS CA has an expanded land use plan, for scaling up CA size (effective 3D physical modelling done). **R** | All positive, and the community experience with the planning process seems to have been positive. | The YUS CA land use planning experience and especially the designation of zones, uses, responsibilities, and enforcement mechanisms need to be documented in detail, to capture lessons learned. |
| TMR has completed village level land use planning; all clans have signed relevant agreements. **R** | Also positive. Who exactly (communities, and what levels of Government) has signed the agreements? | The nature of the signed agreements should be examined and the expectations, responsibilities, requirements, enforcement, conditions, and trade-offs clarified, to inform future CA agreements. |
| Government subsidies for freighting coffee to mill. **R** | Government subsidies can be a catalyst for new business ventures, but also may reduce the business sustainability of some ventures going forward (subsidies skew the objective business model). | Presumably, there will be a more detailed accounting of the business operations of villages operating in the CAs, and how risks/benefits are being shared/distributed. |
| Some specific youth and women engagement in CA initiatives. **R** | These are positive developments, and lessons regarding creating opportunities for youth and women’s engagement need to be documented. Has a gender strategy created these, or have these just developed at the village level, without project interventions? | All activities which have a high level of engagement with women (and youth) should be analyzed to determine opportunities and barriers, to inform a future gender strategy for CAs. |
| Discussion paper on National PA Rangers network. **R** | What is the status of this, and what are the expectations for taking it forward? (who “owns” it and who is involved in developing it?) | The project needs to develop a workplan to advance this initiative. |
| Draft review of processes and policy briefs to support conversion of PAs to conform with the proposed PA bill. **R** | It seems that these are now waiting for passage of the PA bill. | The project needs to keep encouraging the Government and political level for passage of the PA bill as soon as possible. This particular item is key to breaking the main barrier to PA system development and expansion. |
| Draft process for evaluation and gazettal of new PAs. **R** | Same as above. | Same as above. |
| Draft standard outline for PA management plans. **R** | Same as above. | Same as above. |
| Draft roles and responsibilities of provincial governments for PA management. **R** | Same as above. | Same as above. |
| Ecosystem monitoring mobile application, which has been trialed at the Varirata NP. **R** | What is the plan to further develop this application and introduce it at other CAs? | The utility and practicality of the ecosystem monitoring application should be examined by the project and dissemination to other CAs promoted (once all wrinkles have been ironed out). |
| SMART training for YUS CA rangers. **R** | Has this training translated into routine operations for the rangers? Is there any evidence of increased effectiveness of ranger operations? | The project could support a detailed analysis of the ranger operations and how SMART training may be having an impact (this would support the evidence file for the impact of training on capacity and job effectiveness). |
| **Weaknesses** | | |
| Lack of coordinated work-planning between components; lack of detailed actions and budgets in the plans (creating a lack of accountability). **P** | This reflects the fragmentation of the project, or has contributed to it. Getting all project partners together in a work planning exercise would overcome this problem and help to identify functional linkages and synergies between project components. | The project just needs to make time and space for coordinated workplanning for the final phase of the project (the M+E workshop in December would facilitate this). |
| Co-financing has been limited and not well documented. **P** | This issue needs to better understood: what are the reasons for lack of co-financing? How can value be attributed to in-kind contributions? Has lack of co-financing constrained any of the project activities? | The PMU could strategize how to increase and document the co-financing contributions, and also maintain a dialogue (pressure?) to secure more co-financing. Securing additional external financial support (donors, GEF) should not be considered the fall-back position, as these do not embed sustainability within the CA initiatives. |
| Lack of a coherent knowledge management strategy; limited cross-learning between project components. **P** | This has reflected the “stove-pipe” implementation of the project and lack of time/staff allocated to dissemination of project results and lessons. | Cross-learning is one of the most important principles of the GEF projects and needs to be elevated to a “task”, assigned to an individual, for the remainder of the project. Collective project partner workshops would help in this regard. |
| Gender strategy very limited. **P/R** | Women and youth engagement in the project (it has occurred) seems to have come from the ground-level (good), but is not reflective of any coordinated gender strategy (is there a project staff member who has the gender strategy role?). | A frame for a gender strategy to handle the remaining project period should be developed (and a project staff member will have to manage it). |
| Three project areas running somewhat independently. **P** | The issue here is that CEPA is under-capacitated and responsible for Component 1 and the NGOs are running with Component 2. There does not seem to be a person in charge of melding all component activities together (this is certainly time-consuming and difficult, with different partners, levels of engagement, and different motivations). | Bridges between the two components need to be identified in the next workplanning exercise, and specific linking events (shared learning) created. |
| PMU under-staffed and roles not clear. **P** | This seems to reflect both the project budget and the ongoing CEPA under-capacity. The “weight” of imminent (?) CEPA restructuring may also be a barrier to project engagement. | With development of the 2020 workplan, line items need to be articulated as specific tasks, with management responsibilities and partner engagement clearly identified for each. |
| Financial management weaknesses at the ground level. **P** | There does not seem to have been financial management/reporting training for the NGOs involved in Component 2. However, it seems that some of the issues are now being addressed through staff hires and some related training. | Financial management needs and responsibilities should to be clarified in some specific guidelines and discussed with the NGO management, to preclude any new issues in the final phase of the project. |
| Project monitoring and reporting somewhat limited, and possibly some inaccuracies. **P** | This has possibly reflected the limited CEPA role in the project and the relative independence of the NGO engagement in Component 2. | Accountability for the remaining actions in the project should be assigned to individuals with clear reporting requirements (not just relying on the annual PIR process, and the PSC meeting, both of which may be late in catching and addressing any implementation issues). |
| Limited reporting of field level monitoring results. **P** | As above. | As above. |
| Limited involvement of CEPA staff on project. **P** | This is a sensitive issue and possibly reflects some of the points made previously (above). Pending CEPA restructuring could be seen as a “weight” on current CEPA operations. | The remaining workplanning process should try to highlight who exactly will be doing what, and creating accountability around that. |
| Limited engagement between CEPA and VNP; limited technical and financial assistance to VNP. **P/R** | See above. | See above. |
| CEPA restructuring on hold; in any case, organizational restructuring, while also delivering a major project component, is extremely challenging. **P/R** | There have been several references above to the awkwardness of the CEPA restructuring process (maybe some individuals feel threatened by pending changes, and there may be other political considerations). In any case, experience has shown that an institution in flux is often challenged to undertake routine tasks, let alone new project responsibilities. | The project should strategize how to deliver the remaining actions in the project, assuming limited engagement of CEPA staff. This means assigning specific tasks to other partner institutions and individuals (outsourcing). |
| Provincial and local government monetary commitments to CAs not fully realized. **P/R** | It is normal that there is a lag between financial promises and actual disbursement. Barriers to expeditious disbursement should be examined and addressed. Does lack of provincial and local government monetary commitments significantly affect the delivery of project actions/results? | The project needs to follow-up on each of the commitments and encourage disbursement as soon as possible. Is it clear who receives what, and how funds should be spent? |
| METT scoring not customized enough to the mandates and characteristics of the project partners; capacity of Provincial and local governments unclear. **P** | As pointed out in the MTR, averaging the capacity scores of various entities actually loses valuable information on staff mandates and learning needs/advancement. | The M+E exercise will attempt to re-jig METT scoring criteria to fit the mandates of the various project partners. |
| Possibly a lack of common understanding and vision of what the project is trying to achieve. **P** | Well, it is too late to clarify the original objectives of the project; however, the remaining tasks/actions that are do-able, and the expectations for deliverables can be discussed and made clear to all project partners. | The remaining workplanning exercise is the opportunity to clarify what the project has achieved and what is remaining to be done (assuming all key partners will be involved). |
| Lack of full representation and engagement in the PSC. **P/R** | Key partners were not involved, and this may have led to some misunderstanding about tasks, deliverables, and respective responsibilities. | It is assumed that there is at least one more PSC (to review progress to date, gaps, and the final workplan). All key project partners should be involved in this. |
| Limited engagement with other similar projects (and donors in the same areas). **P** | Experience has shown that it is very time-consuming to create coordination points between projects (creating shared activities), since this requires detailed planning on specific events, locations, participants, etc. (a constant “moving target”); as a consequence, shared engagement is often articulated, in principle, but not often activated. | Remaining opportunities for project cross-linkages between the GEF5 project and others can be identified, and then formal plans for activating those linkages developed. At a minimum, shared learning workshops can be implemented along specific themes. |
| Lack of a clear stakeholder involvement plan from the beginning. **P** | Stakeholder identification was done, but without direct engagement with the various project partners and stakeholders at the beginning of the project, and lack of stakeholder mapping (looking at perspectives, constraints, strengths, etc.), stakeholder involvement has lapsed (or at least not been optimal). | With the remaining project tasks/ actions/ deliverables, all active participants need to be identified, specific tasks assigned, and requirements for facilitating them clarified. In the final phase of the project, all will need to be accountable, as much as possible, with regard to their respective roles, successes, failures, and utility of deliverables. |
| Provincial level engagement has been limited. **P** | It is not clear that the provinces have had a clear role in project planning and decision-making from the beginning, and their engagement has been sporadic. | The project needs to make an effort in the final phase to actively draw in all the provinces touched by the project, to clarify sustainability issues and future opportunities and constraints. |
| Limited private sector involvement in the project. **P** | This is not surprising, since most private sector entities would see conservation as a barrier to their business development (apart from some commodity traders – coffee, for example, or those companies doing PR with CSR-type activities, as a way of accessing natural resources). | Perhaps the project can examine how the current private sector partners (in the project) have been brought in – lessons learned. This would help inform guidelines on future private sector engagement in CA activities. |
| Risk management has been limited. **P** | This possibly reflected both a lack of detailed risk management strategies, and not anticipating some (such as a new Government, and stalled CEPA restructuring). | Remaining project risks will be identified in the upcoming workplanning exercise and strategies developed to handle them (with roles assigned). |
| Climate change risks not clarified or addressed in project design. **P** | This could have been done simply enough by using the most relevant climate model for PNG and applying the results to the three targeted CAs. | This could still be done, as a small task, to help with future management of the three CAs involved in the project. |
| High management costs relative to project delivery. **P** | This is a common problem with many projects, especially as there tends to be a heavy management load at the beginning of projects, and not necessarily a management efficiency (reducing costs) created before the end of the project. | Is there a risk that the management budget will be depleted before the end of the project? |
| No holistic capacity development strategy for community-based organizations. **P** | It seems there was not a capacity assessment undertaken at the beginning of the project, and a dedicated and responsive capacity-building plan then developed for each CBO/NGO involved with the project. | There is still time to catalogue the strengths and weaknesses of each project partner, and set out a frame to develop capacity over the long-term (but perhaps not within the project). |
| Weakness in YUS CA CBO. **P** | The YUS CA CBO was a “given” for the project, due to their long experience in the area. Perhaps the project could have been more pre-emptive in providing guidance and capacity-building support. | In the final phase of the project, addressing the YUS CA CBO weaknesses perhaps cannot be fully achieved, as the emphasis will be on delivering the remaining tasks; however, back-up for the CBO can be considered, as a way of managing risks associated with the CBO. |
| Local government social service delivery undermined by donor funding. **P** | The project doesn’t really have any influence over this (although it is a contributor to the problem; creating some distortion in local economies, with project subsidies). | The key to overcoming this issue is to quickly develop business models for all local economic activity and services that will ensure their long-term sustainability and not displace Government services (however, the project cannot really do this in the remaining time). |
| Technical Working Group for PA policy implementation not yet in place. **P/R** | This may be waiting for the PA Bill to be passed (and the CEPA delayed restructuring may also be an issue). | It is not clear that the project can do anything about the TWG, at this point (it requires a Government decision, and will). |
| Reaching consensus among the customary landowners and increased awareness among local communities remains a challenge. **P** | This is no surprise; it is a challenge in all locations where changing behaviour (in a positive way) at the local level is being attempted; most people will be concerned about any pending change. | This requires persistent and ongoing dialogue with customary landowners, during which the net benefits of CA interventions are made clear. |
| Only 5% of the population in the CAs is involved in alternative economic activities. **R** | There may not be scope for scaling up new economic activities at all locations (it is unlikely that there is enough market demand and land for a responsive supply that would allow everyone to be engaged). | Market analysis and development of realistic business models for alternative economic activities should be underpinning all these initiatives (perhaps some retrospective analysis of the ongoing activities can be done by the project). |
| Incorrect assumptions about sedimentation in Sirinumu Reservoir. **R** | It is not clear that the sedimentation levels in the reservoir are relevant to project activities (would project activities be changed accordingly, with different data?). | Perhaps no project action is required with this item. |

**Overview:** It is interesting to note that, despite quite a few weaknesses with **processes**, there have still been significant project strengths evident in **results**. It is especially clear that starting phase results are evident (notably with the national or policy type initiatives), as well as results “on-the-ground” (that can be done somewhat independent from national level institutions). The remaining challenge is to go to completion on the national level project initiatives (requiring more CEPA engagement and overall Government/political will).

* 1. **Risk Management to Date**

The project risk log, and the assessment of project successes and issues to date (Section 3.1), were combined to allow updating of project risk management. This analysis then helped to inform the implementation and management of proposed project actions in 2020 (see Section 4).

**Updated overview of project risk log** (from the 2015 ProDoc, as it was at the time, with observations based on hindsight – project implementation experience to the end of 2019):

| **Identified Risks and Category** | **Impact** | **Likeli­-**  **hood** | **Risk Assessment** | **Mitigation Measures** | **Observations (2019)** |
| --- | --- | --- | --- | --- | --- |
| Creation of conservation function within CEPA does not occur because of resistance from within government. | High | Unlikely | **Low** | Precondition for the project. CEPA model explicitly includes a conservation mandate and oversight of the National PA system. The CEPA Act was enacted in May 2014 and operationalization of the Authority is ongoing. CEPA was formally launched in January 2015. The proposed CEPA structure includes a dedicated Protected Areas Management and Oversight Unit. It will be vital for CEPA and UNDP to ensure regular communication with relevant Government Ministers – to ensure that appropriate steps are taken to reduce resistance. The project design under component 1 engages relevant technical consultancies (e.g. on change management), which are geared to ensure that the most appropriate governance model and institutional structure be devised and implemented. | It turns out that this assessment of risk was quite off-the-mark. The CEPA restructuring has been delayed (for political reasons? and changing Government). It was perhaps naive to think that the project, through communication, could overcome the risk (it was very much an external risk, hard to manage within the project). In the end, CEPA constraints have been a significant factor in lack of passage of the PA Bill and lack of engagement in Component 1 (institutional restructuring is perhaps the worst context for delivery of challenging tasks).  **Action:** The project needs to reduce the dependence of project delivery (Component 1 and elements in support of Component 2) on CEPA staff and load remaining tasks on the other project partners and perhaps additional task-focused consultants. Unfortunately, this does work against embedding CA actions within CEPA and building up CEPA institutional capacity (considered to be an “end-run”), but at this point the project results should probably take priority over CEPA capacity. |
| Financial sustainability – flow of financial resources to support PAs is insufficient or interrupted. | High | Likely | **High** | The project is part of a modular approach to strengthening the national system, where initial needs and feasibility analysis will be undertaken through this project and a full-fledged biodiversity financing initiative is being developed by the Government as part of module 3. The CEPA structure explicitly includes provision to generate revenues through licences, fees and offset payments and hence a viable revenue stream can be instituted. UNDP supports a parallel GEF 6 project that focuses on the establishment of the Conservation Trust Fund (CTF), as a long-term, sustainable financing mechanism for PNG. In terms of this specific project lifetime, the project has been designed independent enough that all project activities can be implemented without long-term financing for PA management. Working with two designated IPs for component 2 is considered a risk mitigation strategy for this project. | Well, here the risk assessment has been accurate, and the reliance on alternative project delivery (using partners other than CEPA) for Component 2 has been the correct response (however, explicitly accepting the possibility of severe constraints and lack of delivery in Component 1). The fact that actions and deliverables have been possible in Component 2 (despite CEPA limitations) is very encouraging: planning and implementation of CA initiatives can be done in the spirit of anticipated policies and regulations (working in good faith).  **Action:** Clearly, all encouragement to CEPA and the passage of the PA Bill is still needed (increase the dialogue with the new Government), and the partners in Component 2 supported as much as possible in the final phase of the project (perhaps an additional year is needed?). There is clearly strong reliance on the GEF6 project to gain time to sort out all the PA financing options. |
| Weak absorptive capacity in CEPA. | Medium | Very  likely | **High** | Although existing capacities are weak, a comprehensive review and strengthening process including dedicated change management support will be provided by the project to CEPA. The current Government has demonstrated its commitment to a strengthened conservation and environment protection function through the rapid approval for the establishment of CEPA, and the priority accorded to its operationalization. The project will take a systematic, medium-term approach to strengthening capacities, including through better partnerships with other conservation stakeholders such as conservation NGOs and academic institutions.  Specific investments into a dedicated change process will aid staff to come fully on board the new institution, and realign the staff complement with relevant knowledge, skills and competencies. This project will support the services of a state-of-the art institutional change management professional (As described in outcome 1.1).  The possible creation of a “National Centre of Excellence for Conservation Area capacity development” or similar strategy (as described in Outcome 1.3) would help to mitigate some of this risk. It will also strengthen conservation management capacities across a broad spectrum of actors, including NGOs, local and provincial governments and local communities. The integration of support to CAs into Provincial and local-level Government systems and plans will also ensure that there is a broader base of institutional capacity through which to support the establishment and operation of CAs. | Despite project interventions specific to CEPA, the over-riding institutional constraints at CEPA and the delay in re-structuring have meant that CEPA just does not have absorptive capacity (for the project). The risk assessment was correct, but the risk management strategy could not be implemented (cultivating the partnerships with other conservation stakeholders), since CEPA has not been in a position to actually fully engage in such partnerships.  **Action:** As noted above, the main strategy should be to support the partners for Component 2 delivery, so that at least the current changes on the ground in TMR and the YUS CA can be fortified, well-understood, and possibly replicated or expanded, all of which are in the spirit of what CEPA and the PA Bill are intending. Varirata NP may continue to be a “lost” aspect of the project (but, better to support ongoing successes). |
| Slow implement- ation of draft Protected Areas Policy. | Medium | Very likely | **High** | The GoPNG has demonstrated strong leadership in developing a new and concerted effort to establish a unified and strategic framework for PA Management in PNG. The new PAP foresees major changes in the manner PA management is conducted in PNG, and CEPA has the key responsibility for its implementation. The PA governance framework set out in the policy is novel but also complex. A suite of new institutions ought to be set up or operationalized, and most notably the Provincial Government will have a much stronger role to play then in the past. It is anticipated that the implementation of the policy will take some time, however, this project specifically programs support activities that will assist the relevant institutions in PNG to set up a fully operational system within the five-year project period. All outcomes under Component 1 of this project specifically focus on capacity support to the implementation of the new policy, whilst Component 2 is providing important practical lesson learnt from the (Community) Conservation Area (CCA) level. The two proposed Regional PAs TCA and TKCP will help develop practical guidance for replication of the registration as well as successful management of CCAs for newly emerging ones, amongst other. It is suggested to schedule a review of the Policy at the end of this project to ensure that critical lessons learnt from this dedicated implementation effort can be readily absorbed into a yet improved policy version. | The risk assessment appears to have been relatively accurate (maybe the impact of the perceived risk, however, is high, since PA policy implementation is so critical). Support activities in Component 1 were correctly aligned to implementation of the policy; however, again dependent on the CEPA receptivity to new initiatives, which is now known to be an issue.  **Action:** As above, continue the focus on Component 2 activities, which are completely consistent with the PA Policy direction. There needs to be more effort to draw in Provincial Governments in the project, and in policy implementation (even without the PA Bill providing regulatory support). |
| Unclear mandates and division of roles and responsibilities leads to delays in project implement-ation. | Medium | Likely | **Medium** | This risk mostly pertains to component 1, as component 2 is fully delegated to the two Regional PAs. Most notably, this risk pertains to the interventions planned in support of the Varirata-Sogeri Plateau complex. CEPA (still operating under DEC), has drafted a MoU with NCDC for the management of VNP. At the same time this project and JICA are planning support interventions to VNP and the larger surrounding landscape. A management committee must be set up as a matter of priority for the VNP. | Again, the “Achilles Heel” in the project has been the lack of engagement of CEPA in the project overall, and in elements specific to Component 1. The risk was identified (however, was it lack of clarity of roles, or lack of CEPA staff engagement?), but the only risk management approach was to set up a management committee. This fell short of being able to deliver actions for the VNP, the reason being that CEPA was constrained in both being involved in management committees and in delivering Component 1 activities (whether there was a management committee, or not). A more effective risk management strategy might have been, early on, to select alternative project delivery partners, before too much time passed, thwarting successful conclusion of Component 1 activities.  **Action:** It seems that, at this point, the best risk management option is to cut losses in Component 1 (close some activities), or find alternative project delivery partners (as noted previously); probably, in this case, at least another year is required to help bolster Component 1. |
| Social conflict in the community. | Medium | Likely | **Medium** | The selected CCAs sites already have completed social mapping and extensive community consultations, with strong systems in place to avoid and manage conflict. At Varirata the project will work with the resource users (local customary land owners, provincial, district and local level government, PNG Power and Eda Ramu) under the leadership of CEPA, to ensure that existing social mapping and community engagement systems are strengthened to ensure consensus around the proposed catchment land use plan. During the PPG phase, initial consultations took place and general commitment to the project objectives was secured. The project acknowledges that the social dynamics in the Varirata-Sogeri Complex are difficult and that progress on the set project objective may be impacted by disagreements. This is something that the team will pay special attention to and seek to manage by working with all stakeholders. The project will also keep a degree of independence from the PA planning and management vis-à-vis the larger complex for that reason. | It is interesting that the risk was mostly identified for VNP, rather than YUS CA and TMR. And, like other Component 1 activities, the risk was to be managed by CEPA, which had its own limitations and internal risks, compounding the risk management strategy. TMR and the YUS CA seems to have had a longer history of community engagement and opportunities for alternative economic activities which would help reduce the risk of social conflict in the community.  **Action:** The risk of social conflict is always best managed by extensive consultation and engagement with the beneficiary communities, and transparency throughout, so that the opportunities, risks, and benefits of conservation activities and alternative economic initiatives are clear to all potential participants (no hidden agendas, and perceived equality of access to opportunities). So, in the remaining time, step up this process where it is needed. |
| Balancing community needs vs. livelihoods. | Medium | Likely | **Medium** | The (Community) Conservation Area approach at both YUS and Torricelli already has a strong focus on livelihoods, including in particular the provision of alternative protein sources to reduce hunting pressure and the trialling development of cash generation activities to support community development needs. These approaches will be continued and strengthened through the project. | There is not much risk in this regard, as community needs would always include the possibility of livelihoods (they are not in conflict). The real risk here is whether or not alternative livelihoods are economically viable and eventually self-sustaining without project subsidies.  **Action:** Continue to develop, study, and document alternative community livelihoods, especially clarifying their business models (sustainability into the future, with accurate understandings of market demand and potential supply), to ensure their viability. Failure of any new ventures will likely suppress interest in future initiatives. |
| The effects of Climate Change will make it difficult to plan/ implement activities. | Medium | Likely | **Medium** | All three sites have altitudinal transects which will aid in adapting to climate change impacts. The project will also address activities that create increased risks in the face of climate change, e.g. the use of fire for land clearance in situations of increased drought incidence. | The statement of this risk is unclear. Some land use practices (such as using fire for land clearing) should be avoided, regardless of climate change. It is not clear how the altitudinal transects will be used to adapt to climate change. Habitat conservation *per se* will be beneficial (maintaining forest cover for carbon sequestration, and providing a buffer as an adaptation mechanism).  **Action:**  It is worth recording local climate attributes (temperature, rain, wind, etc.) in the remaining project time to help understand local climate trends. The climate risks of specific community initiatives should also be identified (for example, requirements for specific market garden ventures). |
| Gendered based conflicts over the roles of men and women in natural resource manage-ment. | Medium | Likely | **Medium** | The need for gender training and assessment were confirmed by the stakeholders in both YUS and TMR areas and relevant activities have been mainstreamed into the project design. Proposals for gender specific activities are included in a specific gender analysis undertaken during the PPG phase. | This risk is quite real, and would be especially evident if new initiatives are introduced into villages which challenge the traditional roles of men and women (i.e., new initiatives which are done or controlled by women may face resistance from men). It is not clear how effective the gender specific activities have been to date.  **Action:** The project can undertake an analysis of gender specific activities and determine where the resistance points have occurred, and how they were handled (i.e., how effective was the gender risk management strategy? What can be learned to inform future initiatives?). |
| Interventions are not sustained post-project or scaled up to other conservation areas. | Medium | Very likely | **High** | Past GEF experience in PNG has indicated a clear risk that stand-alone project interventions will not be sustained post-project. The intervention approach for this project has taken this risk into account by designing the project as part of a modular, medium-term program strategy for on-going support to conservation in PNG. Just as this project will build upon the progress made and capacities developed under the previous GEF-4 project (GEF PIMS 3954), the GoPNG expects subsequent program interventions supported by the GEF, UNDP and other partners to sustain and build upon the systems and capacities being developed here. The Government‘s commitment to sustaining the project‘s interventions is also demonstrated through the decision to program significant cash co-financing through the pending Government PIP funding proposal that has been submitted by CEPA with the endorsement of the MEC. It is noted that CEPA will establish a project management unit, which will likely provide longer term institutional memory on individual projects.  Scale-up and replication to other CA sites will be dependent on the availability of suitable partners and communities willing to support the creation of CAs on their lands. There have already been indications of such demand through requests for support to CEPA for the establishment of a CA in the Managalas Plateau, and requests from various stakeholders to support the conversion of existing WMAs to CCAs. Based on this documented demand it is reasonable to expect that a successful model developed through this project can be replicated in a number of other locations over the coming years. | This has been correctly identified as a high risk (lack of sustainability or replication of the GEF5 project). Two risk management strategies are themselves risky (or avoidant): the reliance on CEPA – and future Government funding, which has brought insecurities to the project; and, reliance on future GEF funding. True sustainability and the probability of scaling-up or replicating will reside in the economic viability of alternative livelihoods or businesses in the villages in the CAs.  **Action:** As noted previously, the economic viability of the new initiatives in the CA villages needs to be studied and understood, and well-documented, to inform what may be sustainable and what is not worth pursuing. |
| Fish farming and other alternative protein sources at pilot sites pose biodiversity threats. | Medium | Unlikely | **Low** | There is a small risk that project will be exposed to the risk of introducing invasive alien species, especially through the promotion of aquaculture; hence when the actual action is to be undertaken the project is advised to take management actions to prevent the introduction of IAS (fish) that may lead to habitat destruction of aquatic ecosystems. The following recommendation is made, that proper EIA to be done when the actual implementation of LUPs are to be implemented, to ensure that the specific activities are screened at site -level. For example, when the alternative protein food sources are to be adopted (rabbit and aquaculture) there should be careful analysis such that alien species can be avoided. | The risk was correctly identified and also assessed appropriately as low. The risk can be completely avoided with the protocols that were proposed.  **Action:** All initiatives to date involving alternative protein sources should now be examined to itemize the species that were introduced (were there any breaches of the protocol?). |
| Reforest-ation of degraded watershed. | Low | Unlikely | **Negli-gible** | Rehabilitation will only commence with indigenous species. | Reforestation, in itself, is not a risk (it is an enhancement). Planting with indigenous species is always the correct protocol in this case.  **Action:** Has there been any tree replanting? If so, document the extent of it, and the types of trees planted. |

In examining the risk log, it is clear that there were other risks that were not identified and addressed. These are itemized below:

**Other project risks:**

* **Capacity development** (in all partners and institutions) does not lead to measureable changes in job skills or job effectiveness in routine and new CA tasks; associated risk of staff turn-over (so, new capacities not retained); also, lessons learned from project implementation are not analyzed and documented/disseminated.
* Risk of **duplication and/or a lack of convergence** with other similar initiatives.
* **Provincial Governments are sidelined** (lack of engagement, lack of staff capacity) in project delivery (risk of deficient land use plans and lack of support to CAs).
* Associated with this, risk of **inappropriate development in and near CAs** (despite plans, this occurs, and there is a lack of enforcement).
* **Not everyone in the local community can get involved in alternative income generation** activities (so, individuals may end up working on inappropriate development projects in adjacent areas).
* **PA management effectiveness is not evident in visible CA results;** there is a need for external evidence.
* **Local community well-being is not understood and properly measured** (and, possible lack of an appropriate baseline).
* **Inability to monitor relevant CA effectiveness indicators** (such as habitat cover, number of sentinel wildlife species, natural resource extraction activities, etc.).

These additional risks have been taken into consideration in the itemization of proposed actions in 2020 (Section 4).

* 1. **Implications of the New Theory of Change**

The MTR proposed a new Theory of Change, which captured the original LFA, or project results framework, as well as injecting more clarity at the outcome level (expected longer-term changes). The new Theory of Change is examined in this section. However, first of all there is a review of key terms that are part of the monitoring and evaluation process. It is important to have a consistent understanding of the meaning of these terms.

**Objective: A workable end-point in time.** What the project is trying to achieve, and how it will do that.

* Addressing specific conservation and land use **problems** in specific areas: with land and habitats, communities, and government institutions (linked in a defined system) as the key project elements.

**Causes** of the problems:

* these can be multiple, including institutional constraints, lack of technical expertise, lack of financial resources, lack of economic options, lack of a shared vision, lack of communication, etc.

**Workable solutions:** to achieve the objective (effective land use and conservation), all the causes of the problems must be addressed in some fashion, or the ones that are not addressed will undermine the incipient success of the project in other areas.

So, the **baseline:** needs to be correctly described (cause/effect; status in qualitative and quantitative terms; need to show who owns the problem = stakeholder analysis/map/capabilities), to allow future comparison.

**Actions** = **outputs** (fully responding to the baseline situation/problem) – including who does what and when/where/why/how.

The **target** is the proposed solution in the same terms/qualifiers as the baseline = **performance indicators** (evidence/proof of achievement), which contribute to the objective; these have to be observable and measureable (**means of verification**; if they can’t be verified, they are not proper indicators).

**Assumptions** are understandings of context, motivators, drivers, external and internal influences; what is needed to ensure proper and effective actions.

**Risks** are the external (and sometimes internal) factors **to be prevented or responded to:** assumptions usually include these as items that will *not* occur.

*Comparison of the Original Project Design to the new proposed Theory of Change:*

## Problems the Original 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.

**So... each outcome needs a “positive” change word or attribute, showing the trajectory of the set of actions.** Below, we see “improved”, “strengthened”, “increased”, and “expanded”, pertaining to “institutional capacity”, “PA system planning and management”, “oversight and coordination”, “effective management of NPs (and PAs)”, “better integration”, and “traditional systems and models for management and conservation of biodiversity”. The question is: what degree of performance can be realistically matched up with improved, strengthened, etc. for the various aspects of PA systems (mostly planning and management)?

Actions lead to “results” (or “outputs”; these are “things”), which contribute to “outcomes”, which are statements of “positive change” over a 3-5 year timeframe (usually), which are requisites for longer-term altered (in a sustained, positive way) institutions, habitats, or human conditions = “impacts”.

Below, we highlight the “change” statements in the outcomes that the GEF5 project has been trying to achieve.

**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.**

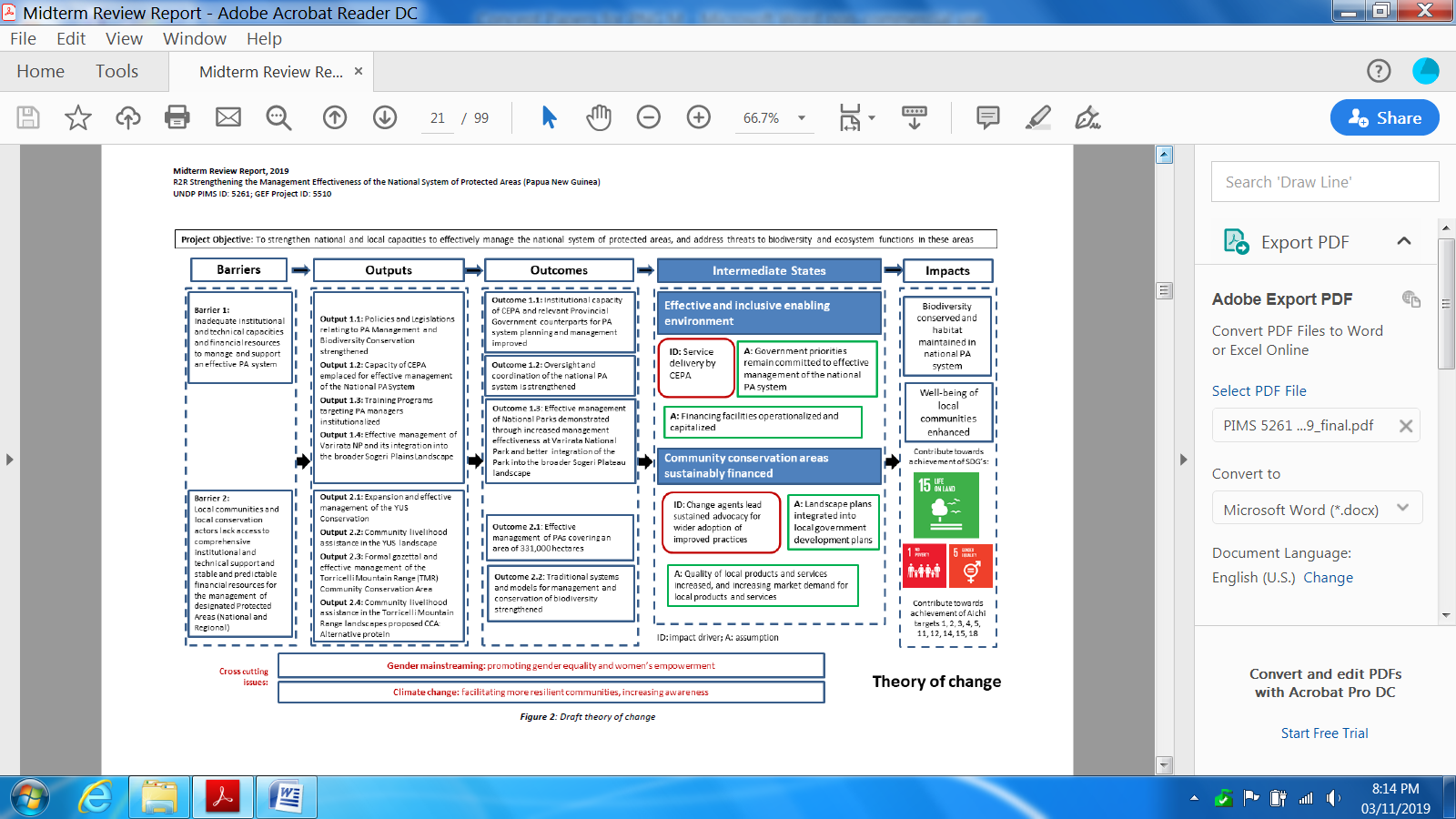
Outcome 2.1: Effective management of PAs covering an area of 331,000 ha.

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).

The new Theory of Change (in the MTR) captures these outcomes as originally described, and has added “Intermediate States”, to try to express longer-term changes. The Theory of Change is shown below.

**Differences?**

It is all the same, to the point of articulating “intermediate states” and ultimate “impacts”, which follow from outcomes. The two intermediate states are: **effective and inclusive enabling environment (for better PA management?) and community conservation areas sustainably financed**. Both of these depend on “impact drivers” (CEPA and “change agents”) and require several assumptions (Government commitment; funds; landscape plans in local government development plans; and, market demand for quality local products and services). Ultimately, the project will lead to (measureable) biodiversity conservation and habitat maintenance, as well as enhanced well-being of local communities. This can be interpreted as key species sustained while local communities prosper. There are also other contributions noted for the SDGs. Gender mainstreaming and climate change considerations have been added as cross-cutting issues. The question is whether or not the new Theory of Change requires new or different performance indicators. This is taken up in Section 4 (the 2020 action plan).

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**4. Remaining GEF5 Activities: Proposed Performance Indicators and Risk Management**

The proposed GEF5 project activities for the final year of the project were discussed at the workshop. The draft CEPA and WPZ annual workplans for 2020 were used to guide the analysis (see Annexes 1 and 2). For TCA, a draft annual workplan was not in hand, but the TCA CEO (Jim Thomas) provided details from his workplan file to set a frame for discussions. All observations from the collective analysis were captured on the whiteboard, and these were then fleshed out (after reviewing the latest versions of the respective workplans); the results are noted below.

The purpose of the workshop analysis and discussions was to examine the workability of each proposed action, which meant clarifying what output or outcome is expected, how evidence of performance (production of the output or outcome) can be obtained, who exactly is responsible for completing the action, and what risks are evident, as well as how they might be managed. All these elements are linked, since the clarity of the purpose of an action (what it is supposed to produce) helps to justify it, and its potential contribution to the change expected with the project can then be defined as “performance”. Performance then needs to be seen or measured (directly) in some manner. If the performance indicator is not clear or appropriate, no one will ever know for sure what has been achieved. Note that the performance indicator should be capturing some of the utility of the output or outcome produced by a specific action (evidence of uptake).

Responsibilities then need to be defined, appropriate and accurate. The risks *usually* relate to the circumstances and capacities of the project partners who are responsible for the project action. Of course, risks may also be due to the ambition and complexity inherent in the task, and may also be due to external factors (context that the project partners cannot directly control; although they may be able to influence some external factors). Risk management then must involve anticipation of risk, or a quick response to evolving risks, and must be workable in its own right.

All these considerations are evident in the tables in Sections 4.1 (CEPA), 4.2 (TCA), and 4.3 (WPZ). Section 4.4 then reconciles the proposed actions in the last year of the GEF5 project to the original LFA and proposed targets, bearing in mind the project analysis documented in Section 3 and the implications of the Theory of Change proposed in the MTR report.

**4.1 CEPA**

CEPA has been responsible for Component 1 of the GEF5 project and has been undertaking it quite independently from the other project partners. The final year proposed actions are analyzed in the table below.

| **2020 Action (CEPA)** | **Expected Output/Outcome** | **Performance Indicator** | **Responsibility** | **Potential Risks (and management)** |
| --- | --- | --- | --- | --- |
| Passing the PA Bill. Related to this: publish standards and guidelines for PA management. Note that this is a hold-over from the GEF4 project. | Bill passed and regulatory aspects can be activated.  A document clarifying standards and guidelines for PA management, consistent with the directions provided in the new PA Bill. | PA Bill declared, published.  Standards and guidelines published and disseminated to all PA partners/ stakeholders. CEPA and associated agencies accelerate the gazetting process for CCAs. | CEPA and ministers (and UNDP support in the ongoing dialogue to encourage taking up the PA Bill). | High risk; CEPA has a heavy workload and there may still be reluctance in government to pass the PA Bill. But, a strategy to de-couple the revenue details from the draft Bill may help. Ongoing and persistent dialogue with ministers is required to keep this item active. |
| Work on Economic Sustainability Plan. | A Plan that is clear on the technical feasibility and business viability of green commodities in PNG. | Plan workable and published/ disseminated.  Eventual evidence of uptake in PA communities in PNG. | CEPA (and consultant). | Relatively low risk; building on GEF 4 and 5 experience; but needs CEPA oversight. |
| Document lessons learned. | *Pro forma* document with lessons attributed to the GEF5 project experience. | Appropriate lessons rolled up into document and adequate management responses for future PA efforts. | CEPA (and consultant). | Low risk. |
| Terminal evaluation. | TE report. | Accurate and detailed TE report, with management responses. | CEPA and evaluators (and all project partners). | As a process, low risk (just logistics). |
| Wildlife species database. | Functional and up-to-date database (ultimately), but perhaps just the frame (parameters) for now. | Workable database frame that allows input of all PNG wildlife data (eventually). Must reflect full consideration of user needs. | CEPA and Port Moresby Nature Park. | Relatively low risk (at this point), but needs review of existing databases and considerable time from Port Moresby NP and CEPA. Ultimately, population of the new database could take years. |
| Project Board meetings.  And, project partners’ meetings. | PB decisions for effective actions in the last year of the project.  Project partner clarity about remaining actions and effective coordination. | Minutes of meetings/ decisions; effective project operations in 2020.  Partner meetings documented. | CEPA and PB. And, project partners. | Should be low risk, but proper detailed documentation may be an issue. |
| Ongoing PA management training (topics and trainees need to be clarified). | Training events delivered and properly documented; increased capacity of project partners/ stakeholders. | Evidence of increased PA management effectiveness; METT scores reflect increased capacity. | CEPA and project partners. | Low risk (but training needs the right topics and appropriate trainees, and documentation, which is sometimes an issue). |
| Reclassification exercise. | 5-7 PA sites have new classifications. | 5-7 sites with new (appropriate) classifications (and gazetted as such). | CEPA. | Moderate/ high risk, as time and effort required, and new classifications need to reflect current (or new) legislation. |
| Drone training. | Improved drone operation capacity with PA managers. | Training documented, and drone flights justified and results documented (flight logs). Utility of drones clearly shown (used for PA planning and/or monitoring/ enforcement). | CEPA and project partners. | Low risk, but then it is necessary to give a sharp focus to optimizing use of drones (time, place, goals, proper documentation). |
| Australia study mission. | Increased understanding of the link between indigenous people and development (in the context of protected areas). | Study mission properly documented, with clear notation of relevance and utility of mission for PNG PAs. Uptake of concepts (from Australia) in PA management in PNG. | CEPA and project partners. | Low risk; however, the utility of the mission depends very much on who goes and how the mission is followed-up (in CEPA and in PAs). |
| Regional meetings/ workshops. | Increased capacity, understanding of project partners and stakeholders, with regard to PA management. | Meetings/ workshops well documented (justification, relevance, utility). | CEPA and project partners. | Low risk; but this depends on the purpose and topics of meetings, and who attends. |
| Rehabilitating Varirata NP facilities. | Existing facilities upgraded/ fixed up. | Buildings functional/ site visit and photographs. Visitor experience enhanced and documented. Management effectiveness improved. | CEPA and VNP site coordinator. | Low risk. Seems feasible. |
| Re-gazette the dam/ river area (land use plan; Sogeri Plain). | Water supply area for Port Moresby re-defined and gazetted, with PES concept clear. | Land use plan with PES concept clear and functioning (case study); gazetted. | CEPA and project partners. | Moderate-to-high risk, as lack of time may be an issue, and there is a dependence on other government agencies. |

CEPA is able to operate fairly independently from other project partners, so there is not much risk in the conditionality of project partner relationships. However, there is a quite heavy workload for CEPA with the GEF5 project tasks (and other GEF projects), and a need to engage with ministers and other government agencies, which create risks for the policy/regulatory aspects of Component 1. There is a risk that outputs will be produced but not subsequently taken up within the timeframe of the project. The GEF6 project (and GEF7) will then likely be considered as vehicles to move some of these policy/regulatory items in the future. On the other hand, one-time events and training are much less risky.

**4.2 TCA**

Tenkile Conservation Alliance (Torricelli Mountain Range Conservation Area) was represented at the workshop, and analysis of the 2020 annual workplan was done in group brainstorming, with cues for activities/actions provided by Jim Thomas (rather than working from the file submitted to the project). The key points are noted in the table below.

| **2020 Action (TCA)** | **Expected Output/Outcome** | **Performance Indicator** | **Responsibility** | **Potential Risks (and management)** |
| --- | --- | --- | --- | --- |
| National Executive Council approval of the TMR CA. | Able to move to gazettal. | “Green light” for CEPA gazetting of TMR CA. | NEC (with CEPA pushing; CACC review). TCA possibly involved in additional meetings. | Fairly high risk. CEPA overwhelmed (slow process).  CACC objections are possible.  For TCA, potential to over-spend (meetings, consultations); minimal budget available.  New objections may come in meetings. |
| Gazettal of the TMR CA. | Official status of TMR CA. | Gazetting of TMR CA documented and published; TMR CA able to function within new parameters as a CCA. | CEPA. | Moderate risk. If TMR CA gazetting has been approved, the remaining step is just procedural. But, CEPA overwhelmed (slow process). |
| Local launch of the TMR CA. | Local recognition of new status. | Full community acceptance of new status, and the limitations (and opportunities) inherent in a CCA. | TCA and local communities. | Some risk of over-spending (on events). Moderate risk of lack of full engagement of local community in CCA regulations, and potential issues of financial sustainability and community expectations of increased incomes. |
| Updating the CA management plan (integrated land use plan). | GIS, village maps.  Surveys (smart biodiversity data).  6 land use plans signed off (land use plan development; updated community commitment).  Staff employed.  Land mediation (as required; 4 expected). Committees active. | Mediation documents signed.  Signed community commitments.  CA management plan disseminated.  Actual land use consistent with the Plan. | TCA and local communities, and committees. | Relatively low risk: just logistics and time involved (not part of the gazetting process).  Lots of precedent for land mediation work (minimal risk with mediation).  But, risk of this taking too long.  TCA and communities are familiar with all the steps in this process, so just need to be diligent in moving this along. |
| Work on community livelihoods. | Hunting/garden agreements.  Monitoring observations on the fish ponds and rabbits. | Community agreement on zones and protocols for hunting and gardening, and active compliance with those agreements and zones.  Uptake and increased production from fish ponds and rabbit farming. | TCA and communities. | Low to moderate risk of operational and technical failures or constraints with livelihood development. Production increases may be difficult to achieve without further subsidies from the project (unclear business viability of all new ventures).  There may be some community lack of compliance with proposed zones. |
| Communities installing signage. | 50 signs. | Boundaries and zones clearly demarcated and communities respecting these. | TCA, and mostly communities (providing materials and in-kind labour). | Minimal risk; some signs already done (and lots of precedents). |
| Complete socioeconomic survey (site visits, community feedback). | Updated database and report. | Up-to-date database clearly showing community status, with regard to infrastructure and activities. | TCA staff. | Minimal risk; some time to be taken, but combined with other tasks (and all reports are in the works or almost done). |
| Building construction. | Communication hubs (smaller buildings with equipment; total of 16; one is completed).  300 tin roofs.  Amenities block. | 15 communication hub buildings (being used).  One amenities block (being used).  300 roofs.  Photographic evidence. | TCA coordination and procurement; communities constructing. | Minimal risk (all benefits with these); materials are currently moving to the sites. Roofs already being constructed (most OK; some slow). |
| SMART training. | More effective spatial monitoring (database, data collection protocols, analyses, reporting, and adaptive patrol management). | Effective and well-documented monthly patrols targeting high risk areas and actions. Infractions declining (with patrols being a deterrent). | TCA, with YUS CA, and community rangers. | Minimal risk in the actual training. Sustained uptake of more effective patrolling may depend on ongoing funding and collection of revenues/ fines from prosecution of infractions. |
| Publications. | Collective project results (status report). | Interesting and compelling accounts of the TMR CA experience; broadly disseminated. | TCA. | Minimal risk with this; TCA already has good experience with communicating the activities and results of their efforts. |

TCA seems to have a manageable workload with the remaining GEF5 tasks, and most of these are continuations of activities that have been underway for a while (so, no new challenges). There is minimal conditionality on other project partners, which helps to reduce risk. The main challenge is getting the TMR CA gazetted, which depends on CEPA and other government agencies and processes; these are more unpredictable in terms of schedules and outcomes.

**4.3 WPZ**

Woodland Park Zoo (YUS CA) was not represented at the workshop, so a draft annual workplan for 2020 was used to guide the analysis (with cues from the GEF5 Project Manager). The key points are noted in the table below.

| **2020 Action (WPZ)** | **Expected Output/Outcome** | **Performance Indicator** | **Responsibility** | **Potential Risks (and management)** |
| --- | --- | --- | --- | --- |
| Improve ICT equipment and transportation logistics. | ICT equipment in place and being used. Vehicles (?) procured and used. | Better communication and transportation. Inventory of equipment (equipment present and being used properly). | WPZ. | Low risk, as this is just procurement, and these items are very beneficial. Vehicles will need to be restricted to project or CCA uses. |
| Training: participatory 3D modelling. | Completion of 3D models in all zones. | Better YUS landscape management (by communities). | WPZ.  Conservation Officers, Mapping Officers, Community Leaders. | Relatively low risk (just a training event); there is not really an obvious follow-up to the training (models will presumably stay in the communities). |
| Training: land-use planning, monitoring, and management. | Increased capacity for all land use planning and management functions. | Ward-level land use plans (2021-2025) reflect effective land use planning. Better YUS landscape management (by communities). | WPZ.  Conservation Officers, Mapping Officers, Community Leaders. | Low risk in the training event itself. Eventual uptake of approaches and skills is less clear. This will depend on who attends the training, and the frequency of follow-up sessions. |
| Capacity assessment (progress).  YUS CBO management training. | Increased capacity of project partners for effective PA management. | Improved PA management is evident in key conservation values (habitat quality and area, and biodiversity attributes). Comparison between baseline and current capacity (either by METT or other evidence on-the-ground). | WPZ and partners. | As an exercise (training and measuring capacity changes) there is relatively low risk. The main issue is finding relevant evidence of improved management effectiveness (METT scoring system being unclear in some areas). |
| Strategic planning workshop. | Updated results chain for YUS landscape CA. | A shared vision of the goals and attributes of the YUS landscape CA, and uptake of management principles. | WPZ and partners (including provincial and district agencies). | There is little risk in the workshop itself; however, working a shared vision into planning and management documents may be more challenging. |
| Training event file (advocacy). | An up-to-date and comprehensive account of all training delivered under the project. | Training delivered, documented, and pertinent (evidence of relevant topics and trainees), and uptake of lessons/ skills learned. | WPZ. | Little risk (in the file itself); but, may be done *post facto*, and possibly lacking details. |
| Management file (events). | A detailed log of all project management actions and decisions. | A clear accounting of discussions, deliberations, and decisions, and evidence of adaptive management and uptake in the YUS CA. | WPZ. | Little risk (in the file itself); but may be done *post facto*, and possibly lacking details. |
| Gender analysis and log. | A detailed account of gender-related activities undertaken by the project and disaggregated data for all events. | WPZ document reflecting a gender-aware approach to the project in the YUS CA. | WPZ. | Little risk in developing the analysis and log itself (but, possibly to be done *post facto*, with some details missing?). The main risk is that the gender strategy was not fully implemented, or methods were not appropriate. |
| SMART development and training. | More effective spatial monitoring (database, data collection protocols, analyses, reporting, and adaptive patrol management). | Effective and well-documented monthly patrols targeting high risk areas and actions. Infractions declining (with patrols being a deterrent). | WPZ and CA staff. Collaboration with TMR CA. | Not much risk in the training itself, but there is a risk that the uptake in patrols will not be evident or sustained (need for ongoing financing). There is a need to document the utility of the training. |
| Gazettal process.  Local outreach and community meetings. | Landscape level re-gazetting completed, with full community support. | YUS CA landscape level gazette published and CA managed accordingly. | WPZ and communities.  YUS CA Management Committee.  CEPA. | A fairly high risk with this activity, as there is still a need for full community consent. There is a risk that not all documents are in order, and also that CEPA, required to facilitate the process, is overwhelmed with other tasks. |
| Smart database update. | Comprehensive and up-to-date patrol database (and potential for sharing data in real time). | Database reflects the most effective patrol options and infractions are decreasing (latest entries in database; timeliness of actions). | WPZ and rangers. | Moderate risk that the database is not maintained in a timely manner, and that the information from patrols is not being used to adjust the patrol sequences. |
| Training for better ranger effectiveness (patrols and monitoring).  Implement, evaluate, and refine YUS Junior Ranger Program. | More effective ranger patrols. | Enforcement is optimized and infractions are decreasing (latest entries in enforcement database). | WPZ and rangers. | Minimal risk in the training itself. The main risk is in being able to implement the skills and approaches covered by the training (need for oversight and sustained financing). |
| Tree kangaroo data collection. | Data on ecology, behavior, and distribution of tree kangaroos; complete data analyses and distribution of results/findings. | Evidence of new data and added value of the project (contributing to these, with new knowledge or insights into tree kangaroos in the area, and hopefully evidence of positive project effects on the population). | WPZ. | Low risk (under WPZ control). |
| Updated YUS CA by-laws and related training. Coordination for better enforcement. | Awareness, education and training on YUS CA by-laws. | YUS CA by-laws are understood and complied with (communities and government agencies). | WPZ and partners. | Low risk in updating the by-laws (unless there are residual community concerns). Uptake and compliance will present a higher risk, and will need effective enforcement. |
| Marine patrols. | Data on locations and results of marine patrols (enforcement actions). | Reduced number of infractions in the marine area of the YUS CA (status of monitoring and enforcement data). | WPZ and rangers. | Low risk activity, if planned and executed well. |
| Knowledge sharing. | Audio-visual and print materials for local, national, and global audience. | Knowledge products; appropriate and disseminated. | WPZ. | Low risk activity, but thought needs to go into capturing the key lessons of the project (and YUS CA) in a compelling manner. |
| Cocoa/ coffee infrastructure. | Storage facilities and solar drying houses. | Status of infrastructure (photographs). These are contributing to increased production, and operation is viable. | WPZ and partners. | Moderate risk, in locating these at the optimal sites for efficiencies in cocoa/coffee production and eventual transport. |
| Provincial, district institutional engagement. | Increased role of local agencies in the YUS CA operations (especially business aspects). | Evidence of provincial and district engagement in YUS CA livelihood processes and business aspects (and hopefully financial commitments). | WPZ and provincial and district agencies. | There is a moderate risk that provincial and district agencies do not participate fully in planning the various alternative livelihood ventures and cannot commit financially to scaling up new ventures. This risk can be mitigated by developing accurate business models to show the viability of each venture. |
| Coffee, cocoa production increases (training).  Advise and support capacity-building for YUS Coffee & Cocoa Cooperative including operational and financial management, coordination, communication, and governance. | YUS farmers more familiar with production, harvesting, processing and marketing standards. | Production data indicate increases. New businesses remain viable (and eventually self-financing).  Village profiles should show added-value of the project. | WPZ and local communities.  Coffee Industry Corporation, Cocoa Board of PNG, and Sucafina. | There is a relatively high risk that new businesses will not remain viable (subsidies will be required over the long-term). |
| Complete YUS Conservation Cocoa Business Plan and define action plan for recovery and rehabilitation.  Assist YUS Cooperative in implementing and monitoring data collection and analysis of coffee and cocoa production, processing, and marketing. | A functioning business plan and data collection system that accurately records the status of coffee and cocoa production. | The coffee and cocoa ventures improve their business operations and profitability, helping with the long-term viability of these activities. | WPZ and local communities. | There is a moderate risk that the plan and monitoring of its uptake do not accurately capture what is going on, and there are not timely responses to any pending issues, which might put businesses at risk. |
| Implement Healthy Village, Healthy Forest activities in YUS villages. | Health interventions in YUS villages. | Improved community health (evident from village visits and clinic records). | WPZ and provincial and district health departments. | These are low risk activities with high community benefits. |

WPZ has little conditionality in relationships with other partners (fairly independent from CEPA). However, it has planned a fair number of activities that will engage provincial and district agencies, and these combined events can be challenging (logistics, and making them relevant and easily taken up). Further, WPZ has a very ambitious slate of activities across the whole spectrum of project themes (conservation, alternative livelihoods, training events, etc.). This will require very tight coordination and diligent project management, if all proposed actions are to be completed successfully in the final year of the GEF5 project.

**4.4 Observations on the 2020 Tasks and Relationship to the Project Results Framework**

Sections 4.1 – 4.3 capture the full details of what is to be done in the last year of the GEF5 project, as well as the risks associated with specific actions, and the expression of the results as performance indicators. Here, we now clarify the relationship between the 2020 tasks and the end-of-project targets in the original LFA (the project results framework).

*Overall Project Objectives*

| **Indicator** | **Baseline** | **End-of-Project Target** | **Relationship Between 2020 Tasks and Targets** |
| --- | --- | --- | --- |
| **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% | All project partners, through implementation of project activities, will almost certainly have increased their capacities with regard to PA management. An exception is in tasks which are to be undertaken by consultants (so, capacity opportunities do not flow through; for example, the work on an Economic Sustainability Plan and the wildlife species database).  There are various training events planned, which will hopefully improve PA implementation skills, especially for partners on-the-ground (drone training; Australia study mission; SMART training; participatory 3D modeling; land use planning, monitoring, management; strategic planning; ranger effectiveness; by-law training; coffee/cocoa production).  As pointed out in the MTR, all the partners have quite different functions, and average capacity development indicators are almost meaningless. |
| B. Total area expansion of the National Protected Area in the Varirata-Sogeri Plateau, YUS and Torricelli Mountains Landscapes. | >0 ha | 255,000 ha | Just about all the ground work for gazettal of the three areas has been done over the last 4-5 years. CEPA now has the full weight of getting the gazettal applications through the CACC and NEC process and fully gazetting these areas, before the end of the project. Further, gazettal may have to default to current definitions in the regulations, since the PA Bill is not guaranteed to pass before the end of the project. TCA and WPZ will have a role in tweaking documents as the gazettal process proceeds. The role of VNP in their process is unclear. All three areas are flagged in 2020 for work on the gazettal process. |
| C. Conducive policy environment for CEPA to operate within. | No policy regulating develop-ment impacts on biodiversity | An enabling policy that established an effective national system to license and regulate development impacts on biodiversity. | There is only one residual task in 2020 that addresses this target, and that is an effort to get the draft PA Bill passed. A peripheral task, somewhat related (in that it would provide tools and information for PA development) is work on the wildlife species database. Otherwise, CEPA is caught in a situation in which it has to proceed with gazetting (for 3 sites, and reclassifying 5-7 other sites) based on concepts in the draft bill, without having the force of the bill behind it.  In the meantime, the proposed TMR CA and the YUS CA are advancing with the PA principles anyhow, and actually implementing many of them in collaboration with the local communities. These initiatives will provide a good verification of the feasibility of community-based conservation approaches. |
| 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. | There is no activity proposed in 2020 which addresses clear or changed revenue flows in CEPA related to PA management. |
| 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. | 15 (?) | >60 | Apparently this figure (60) has been greatly exceeded already, as villages in both the proposed TMR CA and in the YUS CA have been actively involved over the last few years with development of alternative livelihoods and overall improvement of economic conditions and village quality of life, in tandem with development of conservation rules for these areas. Activities in 2020 include significant effort to consolidate alternative livelihoods (further training and also infrastructure at both the YUS CA and proposed TMR CA), as well as accurately documenting village profiles and status (regarding conditions). |
| 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.  (from the UNDP Strategic Plan: 2014-2017) | Not defined. MTR suggestion: *The concept of community conservation areas is included in the PAP, but with no enabling*  *institutional framework* | Not defined. MTR suggestion: *Community conservation areas are mainstreamed in PNG through an enabling institutional framework, supported by CEPA, LLGs and*  *regional roundtables* | This indicator has actually been superseded by the whole array of committees, ranger operations, and business ventures evident in the YUS CA and the proposed TMR CA. Some of these link up to the provinces and districts in these respective areas. In 2020, these local institutions will continue to be engaged in project activities, reflecting all their defined functions. The project will continue to provide support and will also focus on documentation of progress with institutionalizing PA management at the local level. At the national level, CEPA will provide some support to the VNP, and will support development of an Economic Sustainability Plan that will focus on green commodities, of relevance to CCAs. However, these institutions are still mostly tied to the GEF5 project, not a formal or permanent national institutional framework (which would reflect mainstreaming). |

*Component 1 Outcomes*

| **Indicator** | **Baseline** | **End-of-Project Target** | **Relationship Between 2020 Tasks and Targets** |
| --- | --- | --- | --- |
| **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% | Apart from drone training, unspecified PA management training, and an Australia study mission, there are no specific activities planned that address CEPA capacity. Effective management of the activities in Component 1 would, however, continue to build CEPA capacity. |
| New PA Policy | PNG PA Policy in place and implemented  through a formulated Strategic Plan | There will be continuing efforts in 2020 to pass the draft PA Bill, and CEPA will be actively engaged in trying to gazette the VNP area with a PES concept, as well as the YUS CA expansion, and the proposed TMR CA (consistent with the principles in the draft PA Bill). |
| Standards and guidelines: None | Standards and Guidelines for PA  Management in PNG approved | CEPA is trying to finish the standards and guidelines for PA management. |
| 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 | Presumably the training noted above will be attended by CEPA staff and this will help with PA oversight and coordination, although the drone training is very technical, and the Australia study mission will examine the link between indigenous people and development in the context of protected areas. |
| **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% | The only 2020 activity slated for VNP capacity building is rehabilitating some VNP facilities (possibly also involved in drone training). |
| 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 | The 2020 plan includes re-gazetting the Sirinumu dam area with a PES concept. |
| 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 | There is no specific activity in 2020 which addresses sedimentation levels (their measurement) and, further, this indicator is not so relevant, as the PES scheme has not yet been implemented. |

*Component 2 Outcomes*

| **Indicator** | **Baseline** | **End-of-Project Target** | **Relationship Between 2020 Tasks and Targets** |
| --- | --- | --- | --- |
| **Outcome 2.1: Effective management of PAs covering an area of 331,000 hectares** | | | |
| 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% | Even though neither the proposed TMR CA nor the expanded YS CA are gazetted, they are, in fact, managed according to management plans and active management committees, which reflects a quite high degree of capacity of TCA and WPZ and the local communities (their collective METT scores – targets – are noted below). The project experience has certainly increased the capacity of TCA and WPZ. Provincial engagement is much more muted; it is not clear that the proposed TMR CA will engage with the relevant provinces in 2020. The YUS CA will involve the provinces in a strategic planning workshop and training/ discussions on the business aspects of coffee and cocoa production, as well as being involved in the health initiatives in the villages. Note that these particular interventions in 2020 do not relate directly to PA management (they are peripheral). |
| 2.2. METT Scores of YUS Conservation Area and Torricelli Mountain Range  Conservation Area | YUS: 57%  Torricelli: 57% | YUS: 75%  Torricelli: 72% | As noted above, the GEF5 project has already contributed significantly to the management capabilities of the YUS CA and the proposed TMR CA, with significant development of both conservation and alternative livelihood initiatives. In 2020, there will be ongoing work on updating management plans (TMR) and by-laws (YUS), work on community livelihoods (both TMR and YUS), building infrastructure (both TMR and YUS), provision of SMART ranger training and implementation of more effective patrols (both locations), ongoing land use planning (YUS) and mediation (TMR), collection of biodiversity data (YUS), and village health interventions (YUS). These will all contribute to improved management effectiveness in these areas (technical and physical aspects, as well as individual skills). |
| 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 | Most of the process and documentation required for gazetting the expanded YUS CA and the proposed TMR CA have already been completed. In 2020, there will be some residual activities related to updating management plans (with some mediation required – TMR), installing signage (TMR), local outreach and community meetings related to the YUS expansion, and updating of by-laws (YUS). These directly support the gazetting process for these two locations. |
| 2.4. Stable or increased populations of threatened species - YUS | ***YUS:*** *Baseline:*  Matschie‘s Tree Kangaroo *(Dendrolagus matschiei)* (Endangered)  250+ | **YUS**: Stable or increased population:  Matschie‘s Tree Kangaroo (*Dendrolagus matschiei)\ 250+* | In 2020, there will be significant attention given to more effective ranger patrols and data collection at YUS. Further, it is expected that biodiversity data will be updated and published by the end of the project. |
| 2.5. Stable or increased populations of threatened species - TMR | Tenkile Tree Kangaroo *(Dendrolagus scottae*) (Critically Endangered) Population estimate 300+;  Weimag Tree Kangaroo *(D. pulcherrimus)* Population estimate  500+ | Stable or Increased Populations: Tenkile Tree Kangaroo (*Dendrolagus scottae*), target 300+  Weimag Tree Kangaroo (*D.*  *pulcherrimus*), 500+ | Same as above, with additional support expected from installation of signage. Recent data indicate a stable or growing population of tree kangaroos. |
| **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 | In 2020, there is significant activity planned to develop infrastructure related to coffee and cocoa production at YUS, and to pull in more engagement from the provinces (on the business aspects). There will also be significant efforts to develop business plans and increase production of both cocoa and coffee (with associated training). |
| 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$ 1509 per household (Alternative Proteins beneficiaries; in-kind or subsistence value) | In YUS, there will be ongoing efforts to increase production of coffee/cocoa (as noted above). There will also be an effort to get more engagement from the provinces, in the form of financial/technical commitments to help increase production of coffee and cocoa. In TMR, alternative protein sources (fish ponds and rabbits) will receive attention, as well as development of hunting/garden agreements. |

Section 4 has clarified the final year actions for the GEF5 project, based on the annual workplans of the partners (who certainly know what is left to do), but re-expressed to sharpen the performance indicators and clarify where the risks lie. The proposed actions have also been more clearly aligned with the PRF, so that final contributions to the project targets are more easily seen and accounted for. While the annual workplans from the partners were clear on the actions, the specific activities were not defined and linkages to targets were not apparent at all. Therefore, it is suggested that all the details in Section 4 (the tables) be used as working guidance for the project partners (put the tables up on a wall in work areas, and check them frequently for reinforcement of the actual implementation of the plan – this simple visual system actually works... ).

Section 5 below sets the accountability mechanisms for all project partners, which means understanding how to provide evidence of outputs from respective partners, what capacity attributes the project should focus on in the final year of the project, and how best to communicate project results, especially the lessons that are unique to the GEF5 project, with respect to conservation and alternative livelihood approaches (at the heart of effective conservation in PNG).

**5. Accountability of Project Partners**

Since the GEF5 project is all about building capacity and demonstrating the utility of that capacity in effective protected area management (see again the key words in Section 3.3), it is especially important for project partners to understand what capacity gains are needed (each project partner and stakeholder having different mandates and functions and therefore different capacity requirements) and how to develop and document it. Further, each partner needs to be clear on how to provide evidence of outputs, in particular the link between the outputs and the expected project outcomes. Finally, understanding the most effective way to communicate all this is critically important, or else no one will learn and use the lessons from the GEF5 project

**5.1 Appropriate Capacity Development Attributes of Partners/Stakeholders**

The MTR pointed out the fallacy of using average METT scores to measure the capacity change of project partners, especially considering that the scores are developed by proxies, or surrogates speaking for others, and the on-the-ground evidence (in infrastructure, operations, etc.) is not validated. Expressing project targets as average METT scores is really missing the point about a lot of specific project actions and expected outputs. It is not clear if the METT scoring will be undertaken again before the end of the project (perhaps not worth doing, given the observations just noted). In any case, what is more important is for the project to document the functions and capacity requirements of different types of project partners and stakeholders, and then provide evidence of specific capacity change that might be attributed to the project. To help set up this accountability for capacity change, the following table has been developed and expanded from the one provided in the MTR report[[2]](#footnote-2). It clarifies individual roles/mandates, and then the capacities or skills needed to fulfill those roles, and where the project activities provide support.

Just a reminder about what “capacity” is: it is not just skills or knowledge; it is the ability to apply suitable skills and knowledge, in an institutional setting (with appropriate tools, equipment, human resources, and finances) to successfully undertake a task. It is fine to train people, but if they are not able to implement lessons or new skills back in the workplace, then this kind of capacity-building is not useful.

| **Partner/ Stakeholder Group** | **Mandate/ Responsibility** | **Capacity Requirements** |
| --- | --- | --- |
| Conservation and Environment Protection Authority (CEPA). | CEPA is the primary Government institution responsible for conservation and protected area management in PNG. | These are substantial, including at the institutional level: adequate finances; adequate number of staff; information and database tools for planning and management of PAs. At the individual level, requisite skills are excellent communication skills; full understanding of policies and policy implications; deep understanding of leading-edge conservation approaches; financial management and related accountability; planning skills; writing ability and documentation readiness; leadership, diplomacy, and teamwork; willingness to innovate.  **The project** has been addressing financial gaps (implicit in GEF funding of project activities), understanding of conservation approaches (study missions), and database development. It has also provided the opportunity for CEPA to innovate and provide leadership (but, within the capacity constraints of CEPA). |
| 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. | As government entities, not so different from CEPA, in that there is a need for adequate finances, adequate numbers of skilled staff (with regard to planning, conservation, and livelihood development, including business planning), equipment for logistics/ travel, information and database tools, etc.  Individual skills requirements are similar to CEPA (all the same), but with an extra emphasis on ability to engage with local communities (with empathy and understanding), and a dynamic enough character to follow-up up on expectations created at the community level (lack of provincial follow-up is a common issue). Also, some technical awareness of equipment, devices, and approaches for land use planning and monitoring/ enforcement, and definitely an ability to examine the business viability of new ventures.  **The project** has not directly targeted capacity building for provincial governments, and they have been a low profile project partner. There may have been some access to technical training (3D modeling, drones, etc.), but otherwise the GEF5 project is mostly providing an opportunity for Provincial governments to exercise their mandates (with funding for specific initiatives, the provinces actually have something to orientate themselves; mostly alternative livelihoods and business aspects of those). |
| Tree Kangaroo Conservation Program (TKCP) supported by Woodland Park Zoo. | TKCP focuses on conserving the endangered Matschie’s Tree Kangaroo (*Dendrolagus matschiei*) 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. | TKCP, as an NGO delivering both technical and social services in a challenging environment, needs to be a “jack-of-all-trades”: financial management; an ability to network and find both technical and financial resources; scientific acumen; excellent writing, speaking, and documentation skills; empathy with local communities; management of staff; ability to innovate; adequate staff, finances, equipment; leadership skills.  **The project** has been using TKCP as a project delivery partner, and has not focused on building TKCP capacity *per se*. However, TKCP has had access to some of the training events and workshops, which may have had capacity-building spinoffs. It is more likely that the TKCP project activities have been providing learning opportunities to everyone else. Certainly, the financial resources from the project have helped to keep TKCP viable, and the involvement of TKCP in the project has likely helped them to sharpen their planning and management skills. |
| 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 area 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. | The same observations noted above for TKCP would apply here for TCA. |
| 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. | NCDC has far-reaching capacity requirements, since it manages all aspects of the largest population centre in PNG (therefore requiring adequate finances, staff, equipment, information/databases, etc.). With regard to conservation (there are several PAs within the NCDC jurisdiction), it would need an awareness of the goals and mandates of those PAs, and planning and management tools to accommodate their specific needs (for example, water supply from the Sogeri Plain, and VNP). Presumably, there are staff designations within NCDC which address environmental and conservation requirements.  **The project** has not obviously engaged with NCDC in any capacity-building initiatives. In the original project design, NCDC was expected to support development of a public private partnership for the management of VNA, as currently there is no MOU in place. |
| 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. | DNPM does not have active engagement with the GEF5 project. |
| 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 PAs nominated; ensure harmonization of relevant policies and programs. | The NEC is not an active participant in the project (it has no specific role). However, it will ultimately have a part to play in approving/ passing the draft PA Bill.  **The project** does not engage directly with the NEC; however, both CEPA and UNDP could be building interest and awareness in the NEC with regard to the merits of the draft PA Bill (not capacity *per se*), to facilitate its eventual passage. |
| 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 implement Policy; Endorse the annual report of CEPA, once it is operationalized, concerning this Policy prior to forwarding to the Minister and NEC. The NCC may have other functions articulated in the new CEPA legislation. | The operational status of the NCC is unclear (in project documentation). It would require membership that represents a broad range of conservation interests and expertise, so that appropriate decisions can be made regarding PAs in PNG.  **The project** is not engaging directly with the NCC (such as it is), and therefore does not have a capacity-building role. |
| 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. | The status of the NPART is unclear in project documentation and is not discussed at all in the MTR report. Like the NCC, it would require an appropriate cross-section of conservation stakeholders in order to be effectively involved in PA development and management in PNG.  **The project** does not seem to have been engaged with any NPART functions, and therefore does not have a capacity-building role. |
| 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. | The MTR report refers to a recent establishment of the RPART and some project engagement with/ support for it. Like the NPART, it would be most effective with a broad cross-section of committed conservation professionals in the areas being discussed.  **The project** does not seem to be actively engaged with support for the RPART and its discussions/decisions are not further mentioned in the MTR report. |
| Academia and Research Institutions. | This includes the national universities, research institutions involved with environmental conservation, agriculture and natural resource management. | The MTR refers only to the engagement of Pacific Adventist University (developing a curriculum for community rangers) and James Cook University (Australia) for capacity building of national stakeholders in PA management (no specific details). Both would have been engaged as project delivery partners, because of the expertise that they already have. They would not be the subject of any capacity building otherwise provided by the project.  **The project** does not seem to have any other links to academia or other research institutions and no specific capacity-building (from the project) is warranted. |
| Local Level Government (wards). | These are responsible for plan development and implementation at the community levels. They work closely with the NGOs and CBOs. | Local level government (LLG; the wards) has a significant role in community level planning and implementation (especially business ventures, and infrastructure and services). However, wards are usually severely under-capacitated, lacking funds, human resources, and operational linkages up to the province and national level government. As such, LLG needs both adequate funding and people with technical, planning, and business experience, and sound knowledge of local level dynamics and political considerations. Often, LLG capacity comes down to specific individuals who have drive and leadership skills.  **The project** has been peripherally engaged with LLGs (TMR area), but only in obtaining in-kind involvement in discussions to support development of rice, solar power, and alternative protein sources. There is no specific initiative to develop capacity at the LLG level. However, any engagement with project activities will at least broaden awareness of innovations that local communities can take up. |
| 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. | These have already been addressed above; see TKCP. |
| Private Sector and Parastatal Agencies. | Development project proponents and investors whose operations are regulated by CEPA in  terms of environment management, as well as the main users of ecosystem services such as PNG Power and Eda Ramu water supply company. | Usually the private sector is well-defined in terms of required capacity (if businesses are viable, they have adequate finances, expertise, adequate human resources, equipment, data, etc.). As such, they do not usually get targeted in development projects. However, they often need awareness-raising with regard to conservation needs and approaches, and their potential involvement in those. They may also see that environmental and conservation initiatives may actually bring long-term benefits to their businesses (sustainability of operations and reduced costs) and they may also see “green” business opportunities which can broaden the scope of their operations and also increase profitability.  **The project** has been engaged peripherally with PNG Power, in the sedimentation studies in the Port Moresby water supply. Further, PNG Power has an Environmental Officer who has responsibility for these kinds of issues. Other entities (Water PNG and Eda Ramu) have not been actively involved. It is possible that there has been some spinoff knowledge conveyed to at least PNG Power, but it is unlikely that the project can target any other private sector or parastatal agencies in capacity-building in 2020. |
| 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. | Local communities ultimately carry the weight of all development, conservation, and economic decisions in their communities. As a group of individuals, their capacity needs mostly focus on being properly informed, having leadership within the group, organizational skills, having due process for seeking consensus, transparency, and equitable sharing of benefits (and risks). They mostly need technical inputs and catalytic funding (for new initiatives). There may be variations of all these attributes, with different combinations and weightings in individual villages (see Annex 3). The main capacity requirement, in the context of conservation, is being properly informed about options (for conservation and alternative livelihoods) and getting adequate technical and financial support to start new things.  **The project** has been exemplary in working with communities in the YUS and TMR areas on all these capacity requirements, including the technical and financial aspects and the process, planning, and organizational aspects associated with conservation and alternative livelihoods. The activities in the final year of the project will continue with these (mostly Component 2, and a bit with Component 1). |
| National Forest Authority (NFA). | Guide and revoke Forest Management Agreements in Conservation Areas. | The project Inception Report mentioned the NFA as a project partner, but its involvement with the project is obscure. It is expected that they might have a role in all the CAs involved with GEF5 (with any forest status aspects). As such, their capacity requirements include detailed awareness of all threats and options related to forest management, and a willingness to engage fairly with local communities.  **The project** has not obviously been engaged with the NFA (not mentioned in the MTR report). Apart from involvement in meetings, at which conservation approaches might be discussed, the project cannot really offer much in the way of capacity-building that is relevant to the NFA. |
| Cocoa Board of Papua New Guinea. | Training on certification and market compliance requirements of organic cocoa farming at project sites. | The Cocoa Board of Papua New Guinea would be expected to be fully up-to-speed on all technical and business aspects related to cocoa, without much to learn from any other project partners or stakeholders.  **The project** is expected to engage the Cocoa Board as necessary in final year activities that involve the business aspects of cocoa production at YUS and scaling up operations. |
| Coffee Industry Corporation. | Training on certification and market compliance requirements of organic coffee farming at project sites. | The same considerations noted above apply here for the Coffee Industry Corporation. |

**5.2 Providing Evidence of Outputs**

All project partners (who are supported technically or financially by the project) are obliged to report on the use of project resources (and their own contributions), what was done, what was produced, and how all that contributed to the project targets. These reports (whenever they are produced) are then rolled up into annual PIR reports (produced by CEPA and UNDP), which are supposed to reconcile progress in the previous 12 months with the targets in the PRF (they should also be explicit about how much of the annual workplan has actually been achieved). Ideally, reports from the main Implementing Partners (in this case, CEPA, TCA, and WPZ) will be clear on the successes and constraints in their own implementation experience, and will also document lessons learned that can either serve the remainder of the project or other such projects in the future.

In this section, we discuss how the Implementing Partners should provide evidence for outputs they are responsible for (being accountable). This means documenting what was done/ produced and the contributions to outcome level targets. The latter should always include evidence of capacity change as well as changes in the social conditions and habitats/biodiversity in the areas where the project is active (these have been suggested in the performance indicators in Sections 4.1 – 4.3). If these are not yet evident, there should be some expression of how the activity or output is at least on a correct trajectory to positive outcome level changes.

*CEPA*

Reporting of actions and outputs in 2020 should include the following, with appropriate evidence or examples:

| **Performance** | **Accountability** |
| --- | --- |
| PA Bill declared, published. | Yes/No? And, provide details on the process to get declaration (if done), or where the process is exactly at the end of the project, and prospects in the future, if not yet passed and published. |
| Standards and guidelines published and disseminated to all PA partners/ stakeholders. | Clarify the details of the various standards and guidelines and how they will improve PA management. If these are done, specify how these have been rolled out and disseminated. |
| CEPA and associated agencies accelerate the gazetting process for CCAs. | Provide an up-to-date status report on the PAs that were gazetted to the time the GEF5 project started, and which ones have been gazetted during the period of the project; especially any that have been targeted and gazetted in the last year of the project. Also specify those PAs that are pending gazettal and their prospective schedule for completion of the process (with a focus on VNA, YUS CA expansion, and the TMR CA). |
| Economic Sustainability Plan workable and published/ disseminated. | If completed, provide details on the main content of the Plan, and how the Plan was further developed in the last year of the project. Also, provide details on any workshops, discussions, dissemination activities. |
| Eventual evidence of green commodities uptake in PA communities in PNG. | Clarify the nature of the green commodities concepts in the Economic Sustainability Plan and their prospective business viability. Provide examples of any uptake in PNG and current status. |
| Appropriate lessons (from the project) rolled up into document and adequate management responses for future PA efforts. | These lessons would likely come in the last few months of the GEF5 project, as a separate consultancy (like the GEF4 project), or would be elaborated during the terminal evaluation. They need to be itemized with management responses or have associated recommendations for future project activity. |
| Accurate and detailed TE report, with management responses. | The final version of the TE report will capture all this. |
| Workable database frame that allows input of all PNG wildlife data (eventually). Must reflect full consideration of user needs. | Clarify the process to develop the database frame, the results of review of other databases, how user needs were accommodated, and the expected trajectory of the population of the database with all wildlife data in PNG, as well as the nature of routine management and updating of the database (who will do it?). |
| Minutes of Project Board meetings/ decisions; effective project operations in 2020. | Provide the schedules and attendance at PB meetings, as well as the main discussion points and decisions made (if not the full minutes). |
| Partner meetings documented. | Same as above. |
| Evidence of increased PA management effectiveness; METT scores reflect increased capacity. | If the METT scoring is done again, provide details for CEPA (and other partners, if available). More importantly, itemize examples of increased PA management effectiveness (specific examples) and articulate the link between these capacity gains (specific institutions) and project interventions. |
| 5-7 sites with new (appropriate) classifications (and gazetted as such). | Itemize the sites with re-classification and the process that was required for each one. If not completed, explain the expected trajectory for completion of the re-classification exercise. |
| Drone training documented, and drone flights justified and results documented (flight logs). | Provide details on the nature of the drone training, who attended, what the objectives were, and any expected follow-up. Provide examples of drone flight logs and any management follow-up as a result of drone flights. |
| Utility of drones clearly shown (used for PA planning and/or monitoring/ enforcement). | Assuming that all drone flights related to PA management are logged, and those are centralized in some fashion (at CEPA), provide an overview of the utility of drone usage. Include recommendations on how to optimize the use of drones in the future for PA planning and management. |
| Australia study mission properly documented, with clear notation of relevance and utility of mission for PNG PAs. | A study mission report, noting purpose, attendance, and activities, and how the results of the mission have been disseminated and taken up in CEPA or PAs in PNG (justification for the mission). |
| Uptake of concepts (from Australia) in PA management in PNG. | As above. |
| Regional meetings/ workshops well documented (justification, relevance, utility). | A brief document for each meeting or workshop, in which the topics, attendance, and relevance/ utility are noted. Also some explanation of follow-up or uptake from each meeting or workshop. |
| Varirata NP buildings functional/ site visit and photographs. | Brief notation on the rationale for fixing up buildings (why they were selected), and the process/results from building rehabilitation (include photographs from site visits). |
| VNP visitor experience enhanced and documented. | Some documentation of VNP visitor numbers in the last few years, including visitor feedback on the park and its facilities. Project reflection on how interventions have contributed to an enhanced visitor experience. |
| VNP management effectiveness improved. | Provide evidence for improved management effectiveness at VNP (as well as updated METT scores, if they are available). Try to link improved management effectiveness to GEF5 project interventions. |
| Sogeri Plain land use plan with PES concept clear and functioning (case study). | Provide the land use plan and details of the PES concept (especially how the revenue flows will work), as well as details on the process to develop the plan. If not completed, explain the process to date, and the expected trajectory to complete the activity. |
| Sogeri Plain land use plan gazetted. | Provide an update on the gazettal process, noting gazettal date, if done. If not done, explain the expected trajectory for completion of gazettal, including who will run with it. |

*TCA*

Reporting of actions and outputs in 2020 should include the following, with appropriate evidence or examples:

| **Performance** | **Accountability** |
| --- | --- |
| “Green light” for CEPA gazetting of TMR CA (NEC approval). | Provide details on the process to obtain NEC approval and the date of the “green light”, if done. This would include further meetings, updating of data, other communications, etc. Clarify CEPA role and that of TCA. |
| Gazetting of TMR CA documented and published. | Yes/No? As above, provide details on the process and schedule of supporting activities. Also the date of gazettal. If not completed, provide expectations of the remaining process and who will manage it (after the GEF5 project). |
| TMR CA able to function within new parameters as a CCA. | Provide any evidence of how the TMR area is starting to operate as expected with its new designation. Note the contributions of the project to these new management approaches. |
| Full community acceptance of new status, and the limitations (and opportunities) inherent in a CCA. | Note the details of any community consultations undertaken in the last year of the project (community expectations of new status, or residual concerns). |
| Mediation documents signed. | Just screenshots of the title page and signature pages of the mediation documents. |
| Signed community commitments. | Same as above. |
| CA management plan disseminated. | A simple notation of the status of the management plan (documenting activities in the last year of the project, related to updating/ revising the CA management plan), and the process to disseminate it (who has it?). |
| Actual land use consistent with the Plan. | Provide any evidence/ examples of compliance with the land use plan, as well as examples of lack of compliance, or where there are residual issues/ conflicts. |
| Community agreement on zones and protocols for hunting and gardening. | Provide a map of the agreed zones, and a screenshot of the community agreement document (title page and signature page). |
| Active compliance with those agreements and zones. | A simple annotation of the effectiveness of the zones and protocols, if there has been adequate time to assess their viability and degree of community compliance. |
| Uptake and increased production from fish ponds and rabbit farming. | A map of the areas where project interventions have supported alternative protein sources, as well as data on production changes during the project period. |
| Boundaries and zones clearly demarcated and communities respecting these. | As above, a map of the zones, and observations on community responses to them. |
| Up-to-date database clearly showing community status, with regard to infrastructure and activities. | Completion of the village profiles (already an active file); provide a summary of the profiles, along with a map to show where project support has led to improved quality of life in the villages. |
| 15 communication hub buildings (being used). | A simple notation on the construction process, a map of the locations of the buildings (16 in all) and photographs of each one. Also some brief notation of the degree to which they are being used. |
| One amenities block (being used). | As above. |
| 300 roofs (photographic evidence). | A simple updating on the roof project (brief report), with some photographs from representative areas. |
| Effective and well-documented monthly patrols targeting high risk areas and actions. | A consolidating report, based on patrol logs, which indicates the nature of patrols, the objectives, and any enforcement results, as well as any follow-up from enforcement actions. Some commentary on the utility and effectiveness of the patrol system. |
| Infractions declining (with patrols being a deterrent). | Following from above; a summary of statistics on enforcement actions (however, there may not be a long enough timeline to show temporal trends). |
| Interesting and compelling accounts of the TMR CA experience; broadly disseminated. | Provide the documents, or at least the cover pages and any linkages to on-line material. At least a listing of all documents produced by TCA that include project actions and results. |

*WPZ*

Reporting of actions and outputs in 2020 should include the following, with appropriate evidence or examples:

| **Performance** | **Accountability** |
| --- | --- |
| Better communication (ICT equipment) and transportation. Inventory of equipment (equipment present and being used properly). | Provide an inventory of project supported equipment (and photographs) and some notation on how this equipment is providing benefits. |
| Participatory 3D modelling: better YUS landscape management (by communities). | Provide a brief training report, including objectives and who attended. Indicate how the 3D models will continue to inform land use in the YUS area. |
| Land use planning training: ward-level land use plans (2021-2025) reflect effective land use planning. | As above, provide a brief training report (objectives and attendance). Describe the linkage between the training and the development of the ward-level land use plans (list them, and their current status). |
| Better YUS landscape management (by communities). | Provide any evidence (including photographs) of effective land use management by the YUS communities, and indicate contributions that the project has made in this regard. |
| From management training: improved PA management is evident in key conservation values (habitat quality and area, and biodiversity attributes). | As above. Especially provide data (visual or numerical) on the positive impacts of the project on habitat quality and area, and biodiversity attributes. |
| Comparison between baseline and current capacity (either by METT or other evidence on-the-ground) indicates an increase. | Document (either with up-to-date METT scores, or better to provide specific examples) the management capacity change in the YUS area as a result of the project. |
| From strategic planning workshop: a shared vision of the goals and attributes of the YUS landscape CA, and uptake of management principles. | Documentation of the topics and conclusions from the workshop, including attendance. Clarification of community convergence with the planning goals, and also notation of any residual concerns with long-term land use plans. |
| Training event files: training delivered, documented, and pertinent (evidence of relevant topics and trainees), and uptake of lessons/ skills learned. | By the end of the project, a file with all project-supported training events, including topics and attendees, as well as any evidence (after training events) of uptake and capacity building (examples should be given). |
| Management file: a clear accounting of discussions, deliberations, and decisions, and evidence of adaptive management and uptake in the YUS CA. | A listing of all management initiatives (meetings, etc.; related to the project) including purpose and decisions, as well as follow-up indicating how management responded to any developing issues. |
| WPZ document (gender analysis and log) reflecting a gender-aware approach to the project in the YUS CA. | A report on the gender strategy that WPZ has been working on, including the degree of implementation of the strategy (if evident). At least provision of gender disaggregated data for all project events attended by project staff, local communities, and provincial/ district staff. |
| SMART development and training: effective and well-documented monthly patrols targeting high risk areas and actions. | A training report that documents the objective and topics, as well as attendees. Evidence of uptake of the training in subsequent patrols, including reflection on the effectiveness of the training and improvements in the patrol system. |
| Infractions declining (with patrols being a deterrent). | A summary of data from the patrol logs, including locations, observations, infractions, and follow-up enforcement actions. |
| YUS CA landscape level gazette published. | Yes/No? Status of the process, if not yet completed. Expectations for gazettal in the future. |
| CA managed accordingly. | Documentation of any management approaches supported by the project that reflect the intentions in the new status of the expanded YUS CA. |
| Database reflects the most effective patrol options and infractions are decreasing (latest entries in database; timeliness of actions). | As above, summary of the patrol logs and associated details. |
| Ranger training: enforcement is optimized and infractions are decreasing (latest entries in enforcement database). | As above. |
| Tree kangaroo data: evidence of new data and added value of the project (contributing to these, with new knowledge or insights into tree kangaroos in the area, and hopefully evidence of positive project effects on the population). | A summary of the tree kangaroo data over the last five years, clearly indicating spatial and temporal trends in the tree kangaroo population, and a commentary on causative factors behind those trends. |
| YUS CA updated by-laws are understood and complied with (communities and government agencies). | A report documenting the updated YUS CA by-laws. Provision of evidence of community compliance (or infractions). |
| Marine patrols: reduced number of infractions in the marine area of the YUS CA (status of monitoring and enforcement data). | A summary of the marine patrol actions in the last few years, and the results of any enforcement actions. Clarification of any spatial and temporal trends evident in the patrol data. |
| Knowledge products; appropriate and disseminated. | A list of all knowledge products supported by the project (with cover pages) and a listing of links to on-line material. Also some accounting of the distribution/ dissemination of these knowledge products. |
| Cocoa/coffee infrastructure: status of infrastructure (photographs). | A brief summary of the project-supported activity related to cocoa/ coffee infrastructure, with photographs and some narrative on how this infrastructure is being used and adding value to cocoa and coffee operations. |
| These are contributing to increased production, and operation is viable. | A tabulation of cocoa and coffee production over the last five years, with some commentary on the added-value provided by the project. |
| Evidence of provincial and district engagement in YUS CA livelihood processes and business aspects (and hopefully financial commitments). | A narrative report on the extent (frequency and nature of activities) of provincial and district engagement with the YUS CA. Tabulation of financial commitments made and the actual disbursements and what those paid for. |
| Coffee/cocoa production data indicate increases. | As above; a summary of cocoa and coffee production in the project area. Explanations for any obvious spatial and temporal trends. |
| New businesses remain viable (and eventually self-financing). | A brief report on who exactly is involved (which villages or individuals) in cocoa and coffee ventures (location and duration, maybe tied to production amounts, if possible). |
| Village profiles should show added-value of the project. | Like the proposed TMR CA, a detailed file showing the details of each village involved in PA activities (population, location, services, infrastructure, project added-value features). Include a map of all villages involved with the project or YUS CA. |
| Business planning: the coffee and cocoa ventures improve their business operations and profitability, helping with the long-term viability of these activities. | Similar to above; a summary of the operators and production data, with some reflection on the business viability of operations. |
| Improved community health (evident from village visits and clinic records). | A brief narrative on the community health interventions and an accounting of how these have contributed to improved community health (with photographs). |

**5.3 Communication and Knowledge Management Strategy**

There are at least two purposes in a communication and knowledge management strategy for any institution or initiative. On the one hand, there is *communication* within a project that is intended to keep all partners up-to-date with actions, issues, and suggestions, to preclude any serious problems with implementation (before they become unmanageable) and also to take advantage of ideas or innovations that can increase the development value of project actions. This requires all project partners to stay on top of their responsibilities and communicate with other project partners (especially project management) on a frequent basis, and to document communication as much as possible, in a timely manner. This should be an operational “norm”. The easiest way to do this, and one which allows a continuous record, is use of email, with all Implementing Partners in the loop – simple and straightforward (so, avoid phone calls and texting). It is not clear how exactly the project communication strategy works at the moment (if all partners are in the same loop, or communication is PMU-to-TCA and PMU-to-WPZ; one-on-one), but it should be at least what is suggested above. On the other hand, and perhaps more challenging, is a project *knowledge management* strategy for the final year of the project; discussed below.

When we look at the expected performance and accountability requirements for 2020, addressed above (Section 5.2), we can see obvious categories or clusters of information on project actions that are very amenable to wider dissemination as knowledge products. The most interesting and compelling ones clearly explain the linkages between community actions and conservation effectiveness (so, mostly evidence from Component 2). These should be the focus of a knowledge management strategy for the final year of the GEF5 project. Note that a knowledge management strategy (an effective one) takes some time to manage, and requires someone to lead, and the cooperation of all project partners in implementing it.

First of all, a strategy needs a clear audience and target, with an overall message that is being conveyed: the purpose of disseminating knowledge (for example, the net benefits of community based conservation in PNG; to convince people why it is worth doing). Whatever the message, it will need to be expressed in different ways, depending on the interests and comprehension abilities of the audience (this can include local communities, different levels of government, the community at large, politicians, private sector, global audience, etc.). For each specific audience, the knowledge (lessons learned from project experience) needs to be compelling or interesting (so, relevant to the audience) and also timely (fitting the temporal context and current concerns or interests of the audience).

Secondly, the knowledge or information in the message (however it is conveyed) needs to have application: it needs to be useable by the person receiving the knowledge. Otherwise, there will likely be almost no attention paid to the message or knowledge being conveyed (current audiences have short and selective attention spans). Finally, all useful knowledge or information from the project needs to be packaged and stored in one folder that is managed by one individual, so that it can be further shaped, edited, formatted, produced, and disseminated with a clear vision of the message and different receiving audiences (someone in the GEF5 project needs to assume the role of knowledge manager; probably 3-4 months’ effort sporadically over the remainder of the project period). The matrix below sets out a knowledge management strategy that captures key messages, specific audiences, and media formats that should suit different audiences.

| **Theme/ Message** | **Audience and Media/ Format** | | | | | | |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Local Communities** | **PNG Community at Large** | **District and Provincial Governments** | **National Government** | **Politicians** | **PNG Private Sector** | **Global Conservation Community** |
| Main concepts in the PA Bill. | - | A **brochure** that sketches out the main concepts and net benefits of the Bill (print and electronic, for social media, websites). | - | - | **Key talking points** for CEPA/ UNDP meetings with specific ministers (by portfolio and by region). | - | A **brochure** that sketches out the main concepts and net benefits of the Bill (electronic, for social media, websites). |
| Business opportunities associated with green commodities. | A **brochure** with concepts, options, evidence of business viability, and current examples (print). | - | A **brochure** with concepts, options, evidence of business viability, and current examples (print and electronic, for social media, websites). | - | - | A **brochure** with concepts, options, evidence of business viability, and current examples (print and electronic, for social media, websites). | - |
| Map of gazetted PAs in PNG. | **Printed map.** | **Printed map** and electronic version (for relevant websites). | - | - | - | - | **Electronic version of map** (for relevant websites). |
| Applications of drones to PA management. | - | A 3-minute **video** on drone technology, applications for monitoring/ enforcement and boundary surveys, with drone images (for TV and relevant websites). | A **brochure** on drone technology, applications for monitoring/ enforcement and boundary surveys, with photographs  (print and electronic, for social media, websites). | - | - | - | A 3-minute **video** on drone technology, applications for monitoring/ enforcement and boundary surveys, with drone images (for relevant websites). |
| Map of the TMR CA (villages and zones), with key management principles. | A **brochure** with the map and details (print version). | A **brochure** with the map and details (print and electronic, for social media, websites). | A **brochure** with the map and details (print and electronic, for social media, websites). | A **brochure** with the map and details (print and electronic, for social media, websites). | - | A **brochure** with the map and details (print and electronic, for social media, websites). | A **brochure** with the map and details (electronic, for social media, websites). |
| The benefits of alternative protein sources in the TMR CA. | A **brochure** explaining the positive impacts of developing these alternative protein sources village economic conditions and conservation benefits) (print version). | A **brochure** explaining the positive impacts of developing these alternative protein sources village economic conditions and conservation benefits) (print and electronic, for social media, websites). | A **brochure** explaining the positive impacts of developing these alternative protein sources village economic conditions and conservation benefits) (print and electronic, for social media, websites). | A **brochure** explaining the positive impacts of developing these alternative protein sources village economic conditions and conservation benefits) (print and electronic, for social media, websites). | - | A **brochure** explaining the positive impacts of developing these alternative protein sources village economic conditions and conservation benefits) (print and electronic, for social media, websites). | A **brochure** explaining the positive impacts of developing these alternative protein sources village economic conditions and conservation benefits) (electronic, for social media, websites). |
| Latest ranger/ patrol concepts in PNG. | A **brochure** explaining approaches and benefits, with examples (print version). | A **brochure** explaining approaches and benefits, with examples (print and electronic, for social media, websites). | A **brochure** explaining approaches and benefits, with examples. (print and electronic, for social media, websites). | - | - | A **brochure** explaining approaches and benefits, with examples (print and electronic, for social media, websites). | A **brochure** explaining approaches and benefits, with examples (electronic, for social media, websites). |
| Conservation status of tree kangaroos in the TMR CA. | A **brochure**, with maps, photographs, and time-series graphs, showing tree kangaroo data  (print version). | A **brochure**, with maps, photographs, and time-series graphs, showing tree kangaroo data  (print and electronic, for social media, websites). | - | - | - | - | A **brochure**, with maps, photographs, and time-series graphs, showing tree kangaroo data  (electronic, for social media, websites). |
| Map of the YUS expanded CA (villages and zones), with key management principles. | A **brochure** with the map and details (print version). | A **brochure** with the map and details (print and electronic, for social media, websites). | A **brochure** with the map and details (print and electronic, for social media, websites). | A **brochure** with the map and details (print and electronic, for social media, websites). | - | A **brochure** with the map and details (print and electronic, for social media, websites). | A **brochure** with the map and details (electronic, for social media, websites). |
| The land use planning process in the YUS CA. | **A brochure** explaining the process, timeline, and results, with maps and photographs  (print version). | **A brochure** explaining the process, timeline, and results, with maps and photographs  (print and electronic, for social media, websites). | **A brochure** explaining the process, timeline, and results, with maps and photographs  (print and electronic, for social media, websites). | **A brochure** explaining the process, timeline, and results, with maps and photographs  (print and electronic, for social media, websites). | **A brochure** explaining the process, timeline, and results, with maps and photographs  (print and electronic, for social media, websites). | **A brochure** explaining the process, timeline, and results, with maps and photographs  (print and electronic, for social media, websites). | **A brochure** explaining the process, timeline, and results, with maps and photographs  (electronic, for social media, websites). |
| Gender aspects of community-based conservation in PNG. | A **brochure** on the gender aspects of conservation, with examples from TMR CA and YUS CA (print version). | A 3-minute **video** on the gender aspects of conservation, with examples from TMR CA and YUS CA (for TV and relevant websites). | A **brochure** on the gender aspects of conservation, with examples from TMR CA and YUS CA (print and electronic, for social media, websites). | A **brochure** on the gender aspects of conservation, with examples from TMR CA and YUS CA (print and electronic, for social media, websites). | A **brochure** on the gender aspects of conservation, with examples from TMR CA and YUS CA (print and electronic, for social media, websites). | A **brochure** on the gender aspects of conservation, with examples from TMR CA and YUS CA (print and electronic, for social media, websites). | A 3-minute **video** on the gender aspects of conservation, with examples from TMR CA and YUS CA (for relevant websites). |
| Conservation status of tree kangaroos in the YUS CA. | A **brochure**, with maps, photographs, and time-series graphs, showing tree kangaroo data (print version). | A **brochure**, with maps, photographs, and time-series graphs, showing tree kangaroo data (print and electronic, for social media, websites). | - | - | - | - | A **brochure**, with maps, photographs, and time-series graphs, showing tree kangaroo data (electronic, for social media, websites). |
| The link between cocoa and coffee production and conservation: the YUS CA experience. | A **brochure** explaining how alternative livelihoods take pressure off adjacent habitats, with examples and photographs, as well as economic data (print version). | A **brochure** explaining how alternative livelihoods take pressure off adjacent habitats, with examples and photographs, as well as economic data (print and electronic, for social media, websites). | A **brochure** explaining how alternative livelihoods take pressure off adjacent habitats, with examples and photographs, as well as economic data (print and electronic, for social media, websites). | - | A **brochure** explaining how alternative livelihoods take pressure off adjacent habitats, with examples and photographs, as well as economic data (print and electronic, for social media, websites). | A **brochure** explaining how alternative livelihoods take pressure off adjacent habitats, with examples and photographs, as well as economic data (print and electronic, for social media, websites). | A **brochure** explaining how alternative livelihoods take pressure off adjacent habitats, with examples and photographs, as well as economic data (electronic, for social media, websites). |

**6. Proposed Gender Mainstreaming**

With less than a year left to go in the GEF5 project, there is little chance to actually implement a gender strategy and action plan for the whole project[[3]](#footnote-3). However, there is an opportunity to give a higher profile to those aspects of the project that have created some engagement for women (and youth), which may help to mainstream gender considerations into conservation planning and management (after the project).

In the first instance, the engagement of all project partners and stakeholders in project activities (including TMR CA and YUS CA initiatives) should be recorded (all attendees, trainees, people in meetings, etc.), and these lists gender-disaggregated. This is easy to do, but often the attendance lists do not show the gender of people involved in project activities, so the opportunity is lost. For all remaining activities (project, TMR CA, and YUS CA), all attendees at all events and their gender must be recorded. These attendance lists should be kept in one file or folder with each of the Implementing Partners, and those files sent to the PMU at least every two months. Further, an effort must be made to find the attendance lists for all project events (and TMR and YUS) in the previous years of the GEF5 project, and the gender of attendees assumed or recorded *post facto*. All these attendance lists can then be rolled up to a master list which not only captures the degree of engagement of *all* people with the project over the last 4-5 years, but also the gender of participants (as much as possible).

Secondly, the gender make-up of village and CA committees should be recorded, since these records will capture the actual ongoing gender differentiation of institutions within the communities (less obviously influenced by the project, and more reflective of the gender equality reality in these conservation areas). Where women predominate in committees or tasks groups of some kind, the specific mandates and tasks should be described, and the distinction of these from male-dominated entities clarified (for example, women may dominate in the garden committees and village service and health facilities, whereas men may dominate in conservation patrol functions[[4]](#footnote-4), etc.). Some explanation for the traditional gender split of tasks and responsibilities should be provided (socio-cultural norms, matrilineal versus patrilineal land ownership, etc.). A lot of this information is already well-documented in the social and environmental academic literature for PNG. It is suggested that each of YUS and TMR should create a new committee (just women) for the sole purpose of “introspection” to examine gender aspects of conservation, in their respective experiences, and the results can then feed directly into the item described below.

Thirdly, it is suggested that a brochure (printed and also electronic) and a 3-minute video be prepared to examine and explain the apparent gender aspects of local community conservation, with an emphasis given to the role of women (see Section 5.3). This would be a knowledge product suitable for all kinds of audiences, and could help sharpen the focus on the unique role that women play as custodians of the land in PNG. There should be plenty of examples from the TMR and YUS project experiences (and beyond, if needed). This would require a person in the PMU working with one person at the YUS CA and also a person at the TMR CA to develop a “storyboard” that would capture key gender messages and experiences/examples for the proposed knowledge products. Both the brochure and the video should sensitively address the constraints that women face in planning and management functions at the community level in PNG and how best to enhance opportunities for more engagement of women (for example, women-only committees and tasks, with accountability to the whole community, not just the male decision-makers).

All of these proposed actions would at least give a higher profile to the role women have in conservation, and would set some examples which would help mainstream gender considerations in future conservation initiatives in PNG.

**7. Conclusion**

The previous sections of this report clarify the remaining tasks for the GEF5 project, clearly identify roles and responsibilities, and set workable performance indicators that all project partners are accountable for at the end of the project. These details should help to optimize project activities in the final year, and increase the utility and sustainability of key project outputs.

There is no “magic” or “mystery” in any of this, but this document has the advantage of presenting simple tables that can function as management guides (the annual workplans do not do that). As suggested previously: **print the tables and paste them on the walls in all work areas**. These tables will clarify **who** should do **what**, and how to **account** for that **effort**. Further, all project partners should have the working tables for all the other project partners, so that everyone has the whole picture of the GEF5 project.

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**Annexes**

**Annex 1. CEPA 2020 Annual Workplan** (just the activities, timeframes, and responsible parties)

| EXPECTED OUTPUTS  And baselines, indicators including annual targets | PLANNED ACTIVITIES  List activity results and associated activities | TIMEFRAMES | | | | Responsible Party |
| --- | --- | --- | --- | --- | --- | --- |
| Q1 | Q2 | Q3 | Q4 |
| Output 1: Strengthening the Management Effectiveness of the national Protected Areas | **Activity Result 1 (Outcome 1).** Management capabilities of the PNG state to support and oversee Protected Area Management |  |  |  |  |  |
| Indicators:   1. Policy guidance regarding PA management 2. Standards and Guidelines for PA Management in PNG developed and approved 3. Number of CEPA’s PA Unit completing specialised, targeted short-course training in PA management, oversight and coordination 4. Sogeri Plateau Integrated Land Use Plan developed and approved 5. Sedimentation levels in the Sirinumu Dam measured at relevant sampling points including downriver site such as Laloki river   Baseline: NEC Decision No. 385/2014 on the National Policy on Protected Area also came with the recommendation for a separate submission containing an Implementation Plan with Financial Estimates  Targets:   1. NEC submission of the proposed PA Bill 2. Publish the approved Guidelines on PA Mgt in PNG to include the design of wildlife species database 3. Completion of training series on Protected Area Mgt, and lessons learned and terminal evaluation exercise 4. Completion of Sogeri Plateau Integrated Land Use Plan to include construction/ refurbishment of facilities in Varirata National Park 5. Completion of re-gazetting the water control district and its rehabilitation as a follow through from the Sedimentation Study and Sogeri Plateau Integrated Land Use Plan | Activity 1.1 Policies relating to PA Management and Biodiversity Conservation strengthened:   1. Submission of the PA Bill to NEC and to the Parliament 2. Develop an Economic Sustainability Plan for PAs 3. Publish approved Standards and Guidelines for PA Management 4. Documentation of Lessons Learned 5. Terminal Evaluation |  |  |  |  | CEPA, UNDP |
|  |  |  |  | CEPA, UNDP |
|  |  |  |  | CEPA, UNDP |
|  |  |  |  | CEPA, UNDP |
|  |  |  |  | CEPA, UNDP |
| Activity 1.2 Strengthen CEPA’s capacity for effective management of the National PA System  i. Review of database and design the wildlife species database  ii. Project board and partner’s meetings |  |  |  |  | CEPA, UNDP |
|  |  |  |  | CEPA, UNDP |
|  |  |  |  | CEPA, UNDP |
|  |  |  |  | CEPA, UNDP |
| Activity 1.3 Training Programs targeting CEPA staff, PA Managers, and Rangers   1. Conduct PA Management Training 2. complete Reclassification exercise for select PAs 3. complete drone training for park staff 4. Organize study mission to Australian National Park 5. Participation in regional meetings and workshops |  |  |  |  | CEPA, UNDP |
|  |  |  |  | CEPA, UNDP |
| CEPA, UNDP |
| Activity 1.4 Effective management of Varirata NP and its integration into the broader Sogeri Plains Landscape   1. Complete construction and/or refurbishment of identified facilities within Varirata NP 2. Support the re-gazette and rehabilitation of the water district/headwater in Sirinumu Dam and Laloki river |  |  |  |  | CEPA, UNDP |
|  |  |  |  | CEPA, UNDP |
|  |  |  |  | CEPA, UNDP |
|  |  |  |  | CEPA, UNDP |
|  |  |  |  | CEPA, UNDP |
|  | **Activity Result 2**. Project Management |  | | | | |
|  | Day-to-day project management and support assurance activities |  |  |  |  | CEPA, UNDP |

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**Annex 2. WPZ 2020 Annual Workplan** (just the activities, as there are significant formatting issues in the WPZ workplan; effort is indicated, e.g., 3/4)

|  |  |
| --- | --- |
| **Baseline**: 62% of TKCP, 27% of Morobe and 23% of Madang Provincial Government’s capacity exist on Protected Areas Management.    **Indicators:** % of enhanced capacity of TKCP, Morobe and Madang Provincial Government Officials.  **Targets:**   * Gazettal of YUS Conservation Area at the Landscape Level. * Community-based Land-use Management strengthened and incorporated into YUS Landscape Management. * YUS Conservation Organization (CBO) capacity strengthened and participation in YUS CA management activities increased. * Improved collection, reporting, and application of YUS CA patrol/monitoring data utilizing SMART technology. * Training for TKCP, Rangers, and YUS Communities on Protected Area Management. * Develop and Distribute Awareness, Education, and Advocacy Materials. | **Activity Result:** Support to YUS Conservation Area.  **Activity (Output 2.1):** Expansion to the landscape level and effective management of the YUS Conservation Area Support to YUS Conservation Areas.  **Actions:**   * Facilitation and coordination of YUS Conservation Area Management Committee to ensure completion of Landscape Level Re-Gazettal. 3/4 * Facilitate trainings and workshops to support Protected Area Management, including Participatory 3D Modeling; Land-use Planning, Monitoring, and Management; YUS CA Patrols and Monitoring. 4/4 * Coordinate with National, Provincial, District, and Local Level Government to advise and support enforcement of YUS CA Bylaws. 4/4 * Stakeholder engagement and community-awareness including local outreach and community meetings. 4/4 * Guidance, coordination, and training for YUS Conservation Organization (CBO) executives and members including leadership, management, planning, communications, and community engagement. 4/4 * Spatial Monitoring and Reporting Tool (SMART) system development and training. 4/4 * Improve TKCP and YUS facilities including ICT equipment and transportation logistics. 4/4 |
| **Baselines:**   * YUS CA is at 57% METT. * 76,000 ha of YUS under Protected Areas Arrangements. * 250+ Matschie’s Tree Kangaroo (*Dendrolagus matschiei*) (endangered).   **Indicators:**   * Improved METT scores for YUS CA. * Extent of areas under different National PA Categories and covered by Integrated Land-use Plans to direct management. * Stable or increased population of threatened tree kangaroo species in YUS.   **Targets:**   * TKCP & YUS Conservation Area Strategic Plan 2020-2025. * Participatory 3D Modelling completed for all zones; 3D Models serve as community resources for land-use planning and management. * Pilot and review community-based land-use monitoring to support community landscape management. * Matschie’s tree kangaroo distribution model and ecology/behavior insights. * Spatial Monitoring and Reporting Tool (SMART) system for YUS CA strengthened; patrol data applied for adaptive management and reporting through YUS Conservation Area Management Committee. | **Actions:**   * Completion of 3D Models in all zones; incorporation of 3D Models into YUS landscape management activities as a community resource and reference tool. 3/4 * Train and advise Conservation Officers, Mapping Officers, Community Leaders, and others in the utilization of 3D Models. 4/4 * Pilot community-based land-use monitoring and incorporate into plans for ward-level land-use planning for 2021-2025. 3/4 * Collaborate with partners and stakeholders to identify and strengthen landscape monitoring and management methods. 4/4 * TKCP Strategic Planning workshop and updated results chains for YUS Landscape Conservation Area. 2/4 * Develop and enhance effectiveness of SMART system for YUS (Database, Data Collection Protocols, Analyses, Reporting, and Adaptive Patrol Management). 4/4 * Rangers patrol YUS CA monthly, record data utilizing SMART and provide status reports. 4/4 * Conduct research of tree kangaroo ecology, behavior, and distribution; complete data analyses and distribute results/findings. 3/4 * Conduct awareness, education and training on YUS CA Bylaws and YUS Landscape Conservation Area Management. 3/4 * Develop audiovisual and print materials to strengthen outreach and visibility locally, nationally, and globally. 3/4 |
| **Baseline:**   * 2.5 tonne/year of coffee from 22,650 ha. * 38.6 tonnage/year of cocoa from 6,091ha.     **Indicators:**   * Increased productivity of organic coffee and cocoa in existing agricultural zones in YUS.   **Targets:**   * >10 tonnes of YUS Conservation Coffee parchment exported from YUS. * >1 tonne YUS Conservation cocoa exported from YUS. * YUS Conservation Cocoa business plan completed and implemented to support production recovery and rehabilitation. * Management capacity of YUS Conservation Coffee & Cocoa Cooperative strengthened and participation in community enterprise increased. | **Activity (Output 2.4):** Community Livelihood Assistance in the YUS Conservation Area.  **Actions**   * Development of cocoa and coffee facilities and equipment including storage facilities and solar drying houses. 4/4 * Engage external stakeholders such as the Coffee Industry Corporation, Cocoa Board of PNG, and Sucafina to train YUS farmers in production, harvesting, processing and marketing standards. 4/4 * Advise and support capacity-building for YUS Coffee & Cocoa Cooperative including operational and financial management, coordination, communication, and governance. 4/4 * Implement Healthy Village, Healthy Forest activities in YUS villages. 4/4 * Complete YUS Conservation Cocoa Business Plan and define action plan for recovery and rehabilitation. 4/4 * Implement, evaluate, and refine YUS Junior Ranger Program. 4/4 * Develop audiovisual materials and film/media content featuring TKCP and YUS Conservation Area for awareness-raising and outreach. 4/4 * Assist YUS Cooperative in implementing and monitoring data collection and analysis of coffee and cocoa production, processing, and marketing. 3/4 * 2019 HACT Audit facilitated by UNDP. 1/4 |

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**Annex 3: Background Paper** (for GEF5 M+E discussions): **Local Community Perspectives** (with regard to the natural environment and outside interventions)

The figure below shows a local community “centric” universe, comprising the local communities themselves, the attributes of the community (physical, cultural, social, and governance) and the internal influences that depend on community actions, as well as the **external influences that may be seen as either threats or opportunities**. Each element in this conceptual model is discussed below, including the implications for local community involvement in projects and in community-based natural resource management in general.

Local communities do not always choose where they live, but most communities in the South Pacific, in rural areas at least, have a **long history of association with the natural environment and resource base** that reflects life requirements and proximity to surrounding resources that optimizes life in rural areas. Of course, expanding populations in rural areas complicate the original premise of rural development, and **life in urban areas has an altogether different dynamic** that skews a direct link between communities and the natural environment.

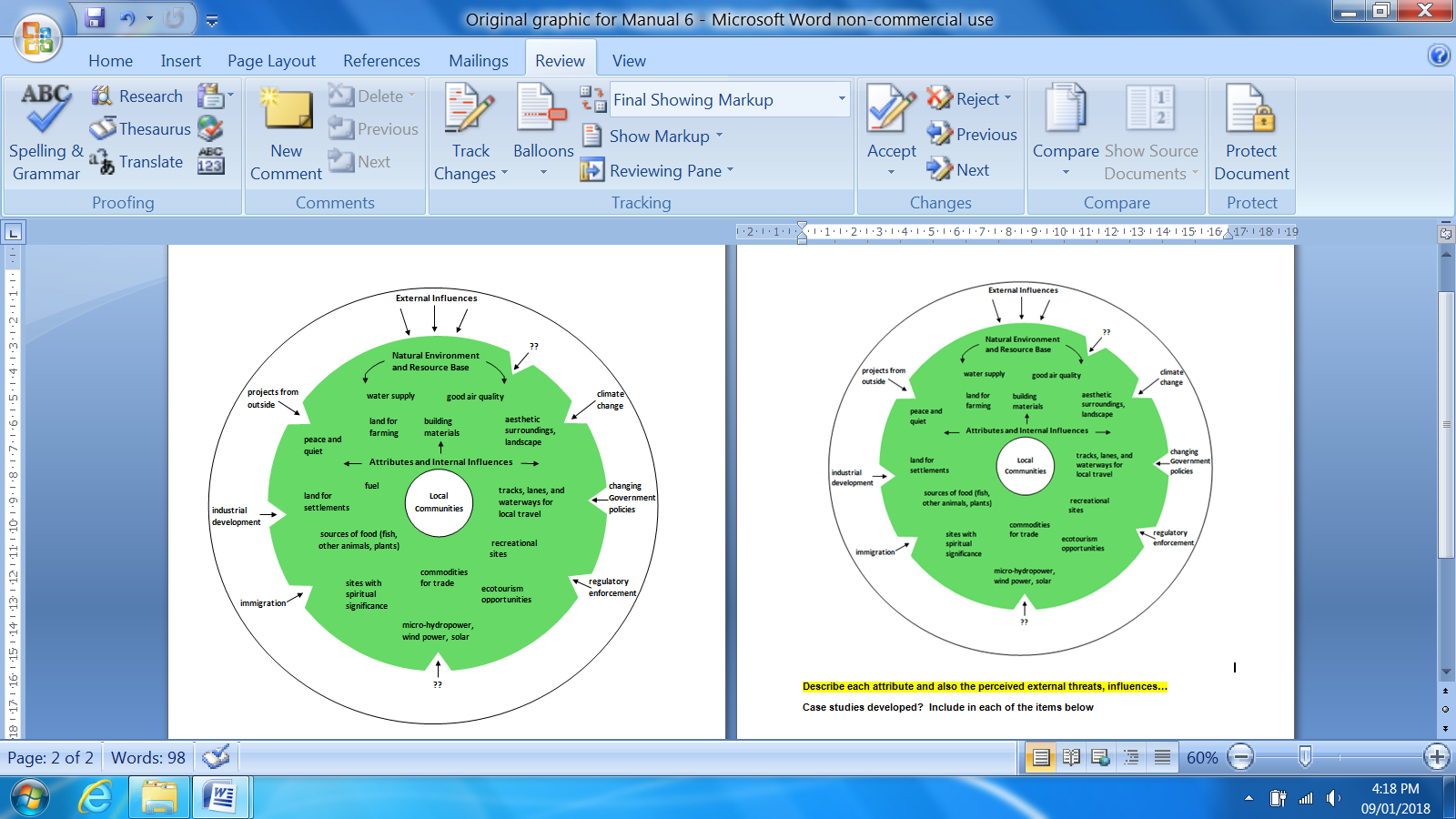
But, despite these more recent changes in community dynamics, local communities still “operate” according to the premise that they have **a need for association with the natural environment and also self-determination** that respects and maintains what they see as an **inherent right of settlement and association with their natural environment**. On the other hand, outsiders (project proponents and developers) may see all locations and natural resources as **an opportunity for development and profits**, regardless of local perceptions of ownership and control. So, we have the tension that can develop within a local community as attributes change, due to internal influences, and also the tension that is almost always evident when external influences start to re-shape local communities, especially if these introduce **local inequalities**.

*Attributes and Internal Influences*

In the first instance, a **Local “Community” is not a coherent unit**, and a collective perspective is not something that can be easily found and documented. **Every individual will have a unique relationship with community attributes** and will therefore exercise different degrees of influence which can change the **community dynamic**, on a daily or weekly basis. However, **when confronted with external influences, local communities tend to “cohere”** more than usual, for the sake of protecting what they already have and making time to understand the potential implications of these external influences. However, at some point in the process of understanding external influences, members of a local community may diverge and take up positions, relative to a project or specific development of some kind, that can create **conflicts within the community** (equality is a difficult principle to maintain in the face of new opportunities).

So, having said this as background, let’s look at attributes and internal influences, to help understand local community perspectives with regard to projects and natural resource management.

Figure 1. The Local Community “view” of the world (one interpretation).



**Land for Settlements**

The first fundamental requirement of a community is having **land to allow settlement, a place to live**. Depending on degrees of ownership, and the nature of legal claims to land, the **amount and quality of land that each family owns** (or has access to, in some manner) is top of the list for either protecting against new development or using as leverage for a perceived gain in the face of a development. Most initiatives would try to ensure no net loss (of land or economic opportunity) when it comes to a project acquiring or using land. **Land is a very complicated attribute**, for the following reasons:

* Without land, there is no settlement, or sense of permanency, and no proximity or access to the natural resource base which supports self-sustenance and economic activity.
* Land has value, depending on area and quality, and can fluctuate, depending on the degree of interest in the land.
* Land is finite; as the population grows, pressure on it develops and families are forced to either sub-divide, build up (vertically), or leave the area.

Further, land that has been settled for a long time often has environmental enhancements, which may include mature trees, gardens, and such, as well as buildings that are architecturally integrated with the surrounding environment. The value of land that may be affected by a project, or some kind of change or development, needs to explicitly include these environmental enhancements, as well as some value for proximity to the natural resource base, if not already worked into a land valuation protocol that may exist in the country.

**Land for Farming**

Most rural communities are involved in farming in some fashion. Of course, land is required to meet the food needs of individual families and to support surplus produce for trade. The **proximity of land that people live on and land that is farmed** by them is very important, and is usually a “given” in the original settlement of a specific location (people live on and farm the same piece of land). The **quality of land (altitude, water access, slope, soil type,** etc.) determines the type of farming that can be prosecuted (this may range from crops to passive pasture land, or there may be shifting agriculture). Local communities are extremely protective of their farmland, but this, like land for settlement, tends to be split up as families grow, and at some point a plot of farming land cannot support a family. These plots may then be sold off as families emigrate from the area.

Unless planted with fruit trees, land that is farmed (whether animal grazing, or other vegetable crops) tends to have an **environmental value somewhat lower than surrounding natural habitats**, since these areas will not generally support wildlife. Further, many rural areas in the South Pacific, where the population is still growing, experience **natural habitat loss**, as forests are cut to make way for farming. Farming land that is acquired for a project or some kind of development and converted to alternative uses (required for a road or building, for example) will not usually forfeit the little environmental value that it may have had, since these areas are supposed to be “greened” (replanted with trees) in any case.

Local communities that lose farming land to a project (or a designated conservation area) may have legitimate concerns about individual family farming plots being split up and access to them being made more difficult. In this case, compensation needs to be negotiated and adjusted accordingly.

**Water Supply**

Most communities (in their original configuration) are located within range of **easy access to a reliable water supply** (for domestic use and drinking water, as well as that required for farming). Water may be available as **surface water** (from rivers or small creeks, and everything in between), and from **groundwater** (either as springs or from wells). Over time, as the population grows and communities may expand laterally, demand for water grows and proximity to the original water sources becomes more difficult. Also, over time, issues of business development, industrialization, and pollution may compromise the water quality. Climate change and rainfall variability may also have a noticeable effect on water supply (both reductions and possible increases, depending on location and recent trends).

With any new development, there is often a **water requirement** that can impose an additional demand on a local water supply. Local communities will be very sensitive to any of these additional water demands and will be seek reassurance that their existing water supplies will not be compromised in any way. In a progressive project development, existing water supplies for local communities can be further enhanced, with a projection of future water demand and possibly better facilities for treatment and distribution of water.

**Sources of Food**

Local communities obviously **organize around readily accessible sources of food**, either from the natural resource base (forests and lakes/rivers, for fish and animals and edible forest products). Of course, they may also prosecute farming, as discussed above. Loss of access to natural sources of food and pervasive loss of quality of natural habitats (such as loss of vegetative diversity and reduction in water quality, or blockage of animal movements) are common fears for local communities which are dealing with project development. These possible changes can be insidious and difficult to predict and monitor.

Another concern local communities may have with development (mining, or forestry) is the **influx of workers**, who almost certainly pose a risk of poaching (usually fish, but also small common wildlife). Depending on the location, they may also comb adjacent forests for products such as mushrooms, which can be a significant loss for local communities.

With regard to farm produce, such as fruit trees and leafy vegetables, dust from road construction (especially) can significantly reduce production, depending on the time of year. This can impact a family’s food base, as well as reduce income from local trading. **Proving cause/effect and seeking fair compensation for these losses** can be a challenging problem for local communities, and often these cases linger without proper resolution.

Some projects or developments will help with CSR-type initiatives and try to support local community efforts to **diversify farming activities**, help protect farm animals and vegetable plots from incursions of wild animals, and such. In this case, local communities really need to examine their food sources and supply chains, and look at how these can be optimized. A common problem in some peri-urban locations is a **continuing dissociation from the natural resource base** (especially where family plots get smaller and smaller), with rising incomes leading to more purchase of processed foods, and less interest in home-grown produce. Creation of community vegetable plots in “common ground” areas is an option that a project can support, to help compensate for possible losses of the natural food base in project-influenced areas.

**Good Air Quality**

While it is not always so (depending on the season), most rural sites in the South Pacific at least have the potential for reasonably good air quality (compared to urban areas). However, depending on the location, air quality may be compromised at times by localized dust and the burning of wood. In any case, despite this possibly **patchy situation with air quality**, there is no doubt that some project activities (such as mining or road construction) can cause serious, while sporadic and temporary, reductions in air quality. **Dust is usually the main culprit** in this regard; local communities will complain especially about dust, since it is visible and can be pervasive at some project sites or along project roads.

Having said this, many people put up with a significant amount of air pollution without complaining (perhaps not fully aware of the possible long-term health risks). However, the more remote settlements in the South Pacific are more aware of their good air quality, as a positive attribute of their local communities, and may be more aggressive about protecting this attribute in the face of project development.

**Building Materials**

Local communities (at least in the initial stages of developing settlements) have been heavily dependent on local resources to serve as building materials. These include: rock/stone; sand; wood; bamboo; rattan; soil (mostly clay, for bricks or wall material); and large leaves from local trees, or reeds. With project development in a specific location, there may be much **increased pressure to use local building materials**, which could displace the local communities’ needs for building materials. On the other hand, ownership and access to local nature-based building materials is the key to addressing this issue, but with a risk. Prices for project contractors could be skewed higher, given the project opportunity, which could put some locally-sourced building materials out of the affordability range of local communities. Also, over time, many nature-based building materials tend to diminish in quantity, as those that are finite are used up and have to be accessed from points further away from community, and those that are over-exploited (some trees, and possibly bamboo and rattan) cannot be sustained with increasing use.

**Fuel**

Most rural communities tend to rely on fuel wood, at least to some extent, mostly for cooking, but also for heating (at higher altitudes). In some areas, these communities may be supported by the Government through the mechanism of **Community Forests** (wood for both fuel and building materials), in which the community manages the forests with supposedly **sustainable tree extraction and a replanting scheme**. With project development in some areas (depending on the development), there may be significantly increased competition for locally-available fuel. This can be a conflict point for local communities unless it is carefully regulated and monitored.

**Power (Micro-hydro, Wind, Solar)**

Locally available power (electricity) may be a feature of some rural communities, depending on Government programs and the effectiveness of any inducements for development of **renewable energy sources**. Usually, there are no particular conflicts between these local power schemes and additional project or development power requirements. Further, many new projects express interest in developing alternative renewable energy systems for local communities, as some compensation for temporary negative effects of the project, or as a CSR-type initiative to encourage support for the project.

**Tracks, Lanes, and Waterways for Local Travel**

All communities have some kind of **transportation system, based on population dispersal and the technical feasibility** of tracks, lanes, and waterways. These systems may have developed over hundreds of years, and even in very steep, mountainous areas, there are narrow tracks that are constantly used and maintained for local walking traffic and movement of goods. Local communities may see two sides to a pending project or new development: use of local tracks and roads for project construction vehicles and equipment, which can cause serious disruptions and delays, as well as severe deterioration of these local road systems; and, an opportunity to have all these old roads and tracks significantly improved (widened, hard-topped, and set with proper drainage and slope protection). **Improvement of these local transportation systems can be planned and implemented**, and this can become a significant factor in gaining local community support for a given project.

**Commodities for Trade**

Any excess production in a local community will be apparent in local markets for trade, or may be exported to urban areas (depending on transport systems and market demand). Note, however, that most established communities were not established for trade *per se*, but were established (hundreds of years ago) for simple sustenance of communities (land, food, water, shelter). Almost all projects or new developments will present **an opportunity for local communities to trade**, or sell into the project, and this is certainly seen as a positive thing.

**Recreational Sites**

Not all communities have recreational sites, and there is a **very broad interpretation of “recreation”** which can range from private yards to large nature parks, depending on the location, climate, and culture. Recreational sites can be severely compromised by project development, depending on specific locations and the size of project footprints.

Unfortunately, **recreational areas are usually considered “common ground”** (not private property) and local government may at times be over-zealous in letting this land go for the sake of project development. It is a difficult process to poll local communities and determine the best way to develop, or forfeit, recreational sites. Local communities have very different views and experiences regarding recreational sites, and it can be difficult to develop a consensus on how to proceed with any development or changes to recreational sites. NGOs often step in to handle the various interests and negotiation with local government and project developers.

On the other hand, many projects make reference to **CSR-type initiatives**, in which areas adjacent to project sites are proposed for development as recreational sites, accessible by the local community (and perhaps people visiting from outside the area).

**Sites with Spiritual Significance**

Almost all communities in the South Pacific have **sites with spiritual significance** within their boundaries, and most are **extremely protective of them**. They are usually not up for negotiation regarding development or any changes at all. These sites may have natural features (rock formations, trees, or waterbodies) and possibly some kind of structure or icons incorporated into them. Most projects are clear on the protocols to identify such sites and ensure that they are protected (in some cases, structures can be moved, if the local community agrees). In addition, **access to sites with spiritual significance needs to be maintained** while project construction is underway. These issues are usually well understood by local communities, and project developers try to not interfere with these sites in the face of clear community positions.

**Aesthetic Surroundings, Landscape**

This attribute of local communities can be difficult to define and identify, since aesthetic aspects within and surrounding communities, and interpretation of specific features in the landscape, are very subjective. These features may be quite meaningful to one person and of no consequence to another person. However, some features, such as **waterfalls, lakes, cliff vistas, and forested hills have an almost universal appeal**, and are usually identified or named, or at least access to these sites is provided.

Developing projects can have a significant impact on the aesthetic and visual aspects of a landscape and therefore require very careful planning to **avoid a view plane or access being compromised**. Local communities will likely have a clear position on how best to situate projects to avoid disturbance or obstruction of landscapes. In some cases, project infrastructure can be modified to be better incorporated into the landscape (adjusting elevations and building materials for **better integration and less visibility of a structure**, for example).

**Ecotourism Opportunities**

Increasingly, many rural locations in the South Pacific, especially those with the landscapes noted above and sites with spiritual significance or recreational value, have potential for ecotourism. These opportunities are significant for local communities which may otherwise have limited diversity of economic activities. Project development could either compromise these ecotourism opportunities (depending on the location and nature of the project) or, alternatively, could improve local infrastructure such that **ecotourism opportunities can be enhanced and further developed**.

**Peace and Quiet**

This attribute is not common to all communities. However, for those more remote rural communities which do not have any industries or highways, “peace and quiet” are attributes that are well appreciated. Noise and an influx of workers (depending on the location and nature of the project) are seen as threats, and so need to be properly managed by project developers.

*External Influences*

The local community attributes and internal influences described above are perceived to be mostly within the control of the communities themselves. As noted above, over time, as communities grow, the **dynamic of community control (governance)** will likely change, and what may have been a simple definition of a community and its attributes can become more complicated as **different factions within a community operate to exercise more control**. This situation can be tested and further pressured when external influences (generally not within the control of the local community) come into play. These external influences are described below.

**Climate Change**

Climate change is an **ongoing pervasive threat to communities**, and clearly beyond their control. This can mean more intense storm systems, increased rainfall during the rainy season, and increased risk of drought in the dry season, depending on specific locations. **Ongoing climate trends cannot be stopped or altered by local communities**. Their only option is usually to **determine their vulnerabilities and develop a climate change adaptation plan** that is both technically feasible and affordable for local communities, and customized to the peculiarities of the location. What adjacent communities do (or don’t do) with regard to climate change will also have an effect on the possible effectiveness of a local community climate change adaptation plan, since there is **inherent connectivity between watercourses, forests, fields, road systems, etc. that may be adjacent to each community**.

Climate change is a significant concern for most communities in the South Pacific and one that is complicated to address, since it **requires over-arching Government policies that will support local community interventions**. New projects can help in this regard, by designing new infrastructure and optimizing existing infrastructure to anticipate and handle the expected changes in local climate. However, this requires a **solid technical understanding of current interactions between weather and infrastructure** and **accurate sub-regional models** that correctly factor in past and future trends in rainfall and temperature.

**Changing Government Policies**

No matter what the country is, local communities see changing Government policies (whether federal/national, or provincial/sub-regional) as an external influence, not much under their control. Of course, changing Government policies can be both good and bad, depending on how they develop and who they are intended to serve (whether local communities, the power elite, or Government overall). In general, local communities do not like change, and often see **changing Government policies more as a threat than a benefit**, and this can reflect the unfortunate fact that many Government policies have not been all that effective in the past.

In an ideal situation, Government policies would go through an **“organic” needs analysis**, in which local communities are consulted with regard to institutional and service deficiencies and how best to address them. In this case, any changes in Government policies would not be seen as a threat, but more likely as a benefit, assuming that the appropriate implementation arrangements are made to allow the changed Government policy to be put in place correctly.

**Regulatory Enforcement**

Regulatory enforcement is perceived as an external influence and almost never seen as a positive influence. While the rationale for individual regulations may make sense to most people and can be fully justified, the fact is that almost **all individuals and local communities in general do not like to be monitored and checked on** (even if they follow the rule of law in all respects). Regulatory enforcement is seen as the strong arm of Government imposing itself inside the community, and its possibly “unequal” degree of implementation (the issue of power controls, and side payments, etc.) can create a cynical view of enforcement. Sometimes, new projects can also bring both changing Government policies and the need for regulatory enforcement, and this combination can be seen as **onerous and threatening by local communities**.

**Immigration**

Any influx of new people (depending on the actual number of immigrants, the time period, and where they are from) into an established community is definitely perceived as an external influence and often seen as a threat, as well. Especially with a specific project or development like mining or road projects, there could be an **influx of workers, who could overwhelm local services, food and fuel supplies** (as noted previously), and induce cultural changes, as well as introduce new health risks. Depending on the specific community, immigrants may also be seen as an opportunity for local economic expansion (for example, to meet the needs of project workers, there is often an expansion in the local trade and supply of produce and an increasingly more expensive market for rental accommodation). Local communities may therefore see **immigration as a “two-edged sword”, with positives and negatives**, depending on the status of individuals within the community and whether or not they experience opportunity, or feel a squeeze from immigrants. In any case, immigration is rarely an external influence that local communities can actually control, whether formally or informally.

**Industrial Development**

Industrial development (including mining, or a forestry operation and milling) in or adjacent to a local community is almost always a result of a provincial or national level Government action or a specific investment by a developer. In many cases, industrial development, while being exclusively an external influence, is seen as a positive factor, bringing the **expectation of jobs and other economic spinoffs**. At the same time, **industrial development often brings the risk of pollution** (of land, air, and water) and this can, over time, outweigh any benefits from job provision.

**Projects from Outside**

Finally, projects from ‘outside”, such as those financed by infrastructure banks (and possibly different from the industrial development noted above) are certainly external influences, as local communities see them, whether fully developed with local community consultation, or not. For some communities, a project (whether hydropower, mining, water supply, etc.) **can be the single largest external influence that a local community might experience**. They are almost always touted as a net benefit to local communities, and the public participation process that lenders and Government require and support should clarify these benefits (as well as addressing all public concerns that relate to the local community attributes and the items of internal influence described above).

**Other Considerations**

It is important to keep in mind that the “general” public (civil society) usually has the **following priorities** when consulted about projects or any development or change that may affect them:

1. Health.

2. Jobs/ traditional livelihoods/ income.

3. Family cohesion.

4. Education.

5. In addition to the above, provision of, or access to, essential services (water, energy, communication systems, information, markets).

6. Community stability.

7. Fair governance.

8. Usually, but not always, the aesthetics and services provided by nature.

It is also important to remember that the “public” is almost always open to **trade-offs, or compensation**, for things that they might lose as a result of implementation of projects, or even conservation initiatives. This has to always be considered a possible tool in the development process, and helps create a sense of “fair play” throughout the process, if done in a fair and transparent manner. Keep in mind, also, that there is the **“general public”** and then there are **“stakeholders”**; the former may be more passive and not directly linked to the area of concern (in the project or development/ conservation area), and the latter (the local communities) almost always feel they have something to lose if they are not properly involved. As noted previously, there can be a wide range of stakeholders, depending on the nature and location of the project. It is important that these are properly identified at the beginning of any process that supports the planning and implementation of new initiatives. The characteristics of stakeholders should define the methods of communication required; therefore, it is always a good idea to prepare a communication plan at the beginning of the planing process that addresses the diversity of the local community.

In summary, the **local communities are “the pawns” in this process** (they are usually the only stakeholder group to feel the effects of success or failure and any local initiative, but they may have a limited role in the process). All the other entities (developers, consultants, Government representatives, in one form or another) are hired to do work related to the initiative, but do not usually directly suffer or enjoy the consequences of their work (in environmental quality terms); they just move on to the next activity. Local communities can either ultimately suffer (loss of livelihoods associated with natural environments) or win (environmental enhancements built in) in the planning and implementation process for new initiatives. Further, local communities do not often draw a distinction between environmental issues and social issues, and it is at times difficult to keep the spotlight on just environmental or natural resource issues and solutions. When there are social issues at play, engagement with local stakeholders can be much **more politicized, complicated, and fraught with concerns** about land ownership, tenure, land use, money, and all forms of compensation, their fairness, transparency, legality, and timeliness. The environmental and natural resource issues may be subordinated to this.

One of the biggest challenges in conducting community consultations (for a project development or conservation initiative) is **ensuring that the whole community is given an opportunity to participate** and can have their specific concerns communicated, understood, and responded to (as much as different groups in a community may actually be affected by a project). It may not be immediately clear how diverse a community may be and how **difficult it can be to understand the multiple viewpoints** (assuming that they can all be aired). Note that **any particular individual may have multiple “classifications”** that make that person unique (for example: female, disabled, mother, landless, etc.). Comparing different groups in a local community is like comparing “apples to oranges”; the comparison is almost always unequal. Usually, the greatest differences in opinions about environmental quality and access to natural resources appear between the young and old, men and women, and farmers versus business people.

Due consideration has to be given to **how to engage the different groups which may have competing interests** when it comes to environmental quality and access to natural resources (for example, a factory or mine owner may not care about the environment, and may knowingly pollute the water that a farmer requires for irrigation; a male truck driver may not care at all about environmental quality, being on the road most of the time). Some groups may have little actual traction with a project and its impacts and may also not have an effective voice, in any case (for example, young children; their **parents and community leaders become “proxies”** for them).

Given the actual complexity of a “community” (as described above), especially in rural areas, **local elites are often the *de facto* leaders**. They are often assumed to have both moral and political authority, and may be seen as the only ones who can effectively communicate with outsiders (project developers and Government). It could be assumed that they have a strong personal incentive to represent and protect the overall interests of the whole community, since they may wish to retain their power base and not create undermining interests in other parts of the community. However, experience shows that local elites know who supports them, who has no power, and how to maintain or manipulate different factions to retain a power position. Often **the poor are understood to have little influence and so may not always be correctly represented** (they might just be given some handouts on perceived benefits from a particular project); their interests in maintaining environmental quality and access to natural resources may not effectively counter the possible project returns that accrue to local elites.

This is **all very complex and not so easily picked up in the very early phases of community consultations** (whether for a project or a conservation initiative). Therefore, it is critically important to talk to everyone, in some fashion, and to **“triangulate” or verify the positions and linkages of all the different groups**, as they pertain to the environment and natural resources. Further, the various views within a particular community may only become truly apparent to each other in public meetings where the diverse positions have to be articulated. This can be extremely informative (for the project developer and the community itself), but **can also expose conflicts that were previously hidden, or suppressed**. A further complication is that some groups just do not have the time to be involved in consultations (100% of their time/effort goes into their daily survival). They may also feel so marginalized and lacking in influence or educational/technical cognition to the point that they believe their inputs have no value, or will be ignored, in any case.

Effectively understanding and addressing all these dynamics and complexities in the development or conservation consultation process **requires considerable investment of time and funds, patience, and good timing**. There is a **need for political will and integrity on the part of the developer, or Government representative, to make the public consultation a truly two-way process** that informs both the proponent and the local community. It is also important that the consultation process does not create **unrealistic expectations** in terms of what the community will retain in the way of environmental quality and ongoing access to natural resources, as well as possible compensation for any loss of these attributes.

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1. Ms. Kumaras Kalim, Director of Conservation, Conservation and Environment Protection Authority; Mr. James Sabi, CEPA Manager for Terrestrial Ecosystem Management; Ms. Emily Fajardo, Technical Specialist, CEPA/UNDP/GEF 4 Project; Mr. Jim Thomas, TCA representative; Ms. Fiona Tsikula, Project Assistant, CEPA/UNDP/GEF 5; Ms. Maureen Ewai, East New Britain Focal Person, CEPA/UNDP/GEF 4 Project; Mr. Ted Mamu, Project Manager, CEPA/UNDP/GEF 6 Project; Ms. Elsie Simeon, Project Associate, CEPA/UNDP/GEF 4 and GEF6 Project; Ms. Linda Kapus-Barae, UNDP Programme Associate (Environment); Ms. Patricia Kila, National Project Manager, CEPA/UNDP/GEF 5 Project. [↑](#footnote-ref-1)
2. Which was based on the ProDoc and the Inception Workshop Report. [↑](#footnote-ref-2)
3. Note that WPZ at the YUS CA was to have a dedicated gender specialist enhancing gender opportunities within project initiatives there, but the PMU was unclear about what has actually been achieved. The suggestions here are therefore based on obvious remaining opportunities in the time left for the project. [↑](#footnote-ref-3)
4. It seems that some women have been involved in ranger activities; these need to be highlighted (perhaps these are evident in the TKCP gender assessment and action plan). [↑](#footnote-ref-4)